

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIA/Planning/Section 166
	CORRESPONDENCE SYMBOL OWI/DINAP
	DATE June 11, 2012

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 34-11

TO: ALL SECTION 166 INDIAN AND NATIVE AMERICAN GRANTEEES

FROM: JANE OATES
Assistant Secretary

Jane Oates

SUBJECT: Extension or Modification of Program Year (PY) 2011 One-Year Strategic Planning Directions for New Designated Grantees and Funding Allotments for Selected Grantees of the Workforce Investment Act (WIA) Indian and Native American Program.

1. **Purpose.** To notify WIA Section 166 Indian and Native American grantees of the Employment and Training Administration's (ETA) (a) decision to allow existing designated grantees that were granted waivers to extend or modify their current Comprehensive Services Program (CSP) plan and Supplemental Youth Services Program (SYSP) plan through Program Year (PY) 2013 (June 30, 2014) and (b) provision of planning directions for new designated grantees. This Training and Employment Guidance Letter (TEGL) also gives final funding allotments for designated grantees that were granted waivers, and directions for newly designated grantees.
2. **References.**
 - Section 166 of WIA located at: <http://www.doleta.gov/dinap/cfml/wiapage.cfm>;
 - Regulations implementing WIA Section 166 Indian and Native American Program located at: <http://www.doleta.gov/dinap/cfml/wiapage.cfm>;
 - TEGL 22-10, *Planning Guidance and Instructions for Submission of a One-Year Strategic Plan for the Workforce Investment Act (WIA) Section 166 Indian and Native American Program for Program Year (PY) 2011* located at: <http://wdr.doleta.gov/directives/attach/TEGL/TEGL22-10-ACC.pdf>;
 - Career Pathways Initiative located at: <https://learnwork.workforce3one.org/>;
 - *Notice of Availability of Funds and Solicitation for Grant Applications for Indian and Native American Employment and Training Programs; Solicitation for Grant Applications and Announcement of Competition Waivers for Program Years 2012 and 2013*, Vol.77, NO.52, page 15811FR located at: <http://www.gpo.gov/fdsys/pkg/FR-2012-03-16/xml/FR-2012-03-16.xml#seqnum15811>; and
 - Planning forms included in this TEGL located at: https://ina.workforce3one.org/page/prog_planning
3. **Background.** WIA Section 166 requires grantees to have an approved two-year strategic plan in order to operate a WIA Section 166 grant. The current PY 2011 strategic plan

RESCISSIONS None	EXPIRATION DATE Continuing
----------------------------	--------------------------------------

two-year strategic plan in place beginning July 1, 2012. In lieu of developing a “full” two-year plan, ETA will authorize current designated grantees the option to extend or modify their current one-year plan.

A grant extension/modification is only available to those current grantees that have been designated as a WIA Section 166 grantee in PY 2012, as provided in Attachment E of this TEGL. Incumbent grantees that are not designated for PY 2012-PY 2013 will not receive a grant award. Therefore, their grant cannot be extended or modified. Grantees that are not designated for PY 2012-PY 2013 must discontinue WIA grant services on June 29, 2012.

New designated grantees are required to submit a Two-Year Strategic Plan that implements the Career Pathway model (TEGL 22-10) before June 29, 2012, and a strategy to accept the former grantee’s participant caseload to not disrupt services currently being provided. The Career Pathway model is further discussed in Attachment F of this TEGL. A copy of TEGL 22-10 can be obtained at:

http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3012

4. Implementing a Two-Year Strategic Plan for PY 2012 and 2013.

A. Grantees Who Received a Waiver Avoiding Competition under Solicitation for Grant Announcement (SGA) PY 11-04

ETA will approve all grant extensions/modifications from WIA Section 166 grantees that received a waiver of PY 2012 competition and will consider the legislative plan requirement satisfied by approving an extension/modification of the current plan. Grantees receiving an extension must continue to provide the same services in the same manner as they have been provided under their PY 2011 plan.

WIA Section 166 grantees may request ETA approval to modify a plan to add, expand, delete, or diminish any service allowable under the regulations (20 CFR 668.750(b)). However, grantees must follow the SGA requirement to serve the entire geographic service area(s) for which they were designated. A grantee choosing to modify its PY 2011 strategic plan must include a planning narrative (Attachment F) and a revised Comprehensive Services Form (Attachment C). Grantees must request a modification to their two-year plan if major changes are planned or circumstances require significant changes to the scope, purpose, or design of the grant, such as:

- i. For grantees who have proposed to serve more than 100 participants annually, an expectation that the number of participants will be reduced by 25% or more;
- ii. For grantees who have proposed to serve 100 or fewer participants annually, an expectation that the number of participants will be reduced by 25 or more;
- iii. A determination that the strategy provided in the current one-year plan is not meeting the workforce needs of the community;
- iv. Shifts in the local labor market and/or employer demands (such as job skills training) which require a strategy that is significantly different from the current approved plan;

- v. A change in the efficiency level provided in the PY 2011 strategic plan; or
- vi. A change in the administrative cost limit that was approved in the PY 2011 plan.
- vii. Being newly designated for an area that was open for competition.

In order to receive an extension/modification and to receive PY 2012 funding, all designated WIA Section 166 grantees must submit the following information:

1. *Signed Cover Letter*. The cover letter must indicate the grantee's request to extend/modify its PY 2011 Strategic Plan. Grantees requesting to modify must also include a narrative that clearly explains what is being revised in the plan, and provide justification for the proposed changes. The cover letter must also have an original signature.
2. *Grant Application – Standard Form 424 (SF-424)*. The SF-424 must clearly identify the grantee and must be signed by an individual with authority to enter into a grant agreement (Attachment A). Upon confirmation of an award, the individual signing the SF-424 on behalf of the grantee shall be considered the authorized representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the authorized representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). In addition, the authorizing signature in block 21 of the SF-424 form constitutes assurance by the applicant of the following in accordance with 29 CFR 37.20.

As a condition to the award of financial assistance from the Department of Labor (Department) under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

- Section 188 of WIA prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I financially assisted program or activity;
- Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color and national origin;
- Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
- The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

The following information is about how to fill out particular items on the SF-424:

- **Item #8(c)—Organizational Data Universal Numbering System (D-U-N-S®):** All applicants for Federal grant and funding opportunities are required to have a current D-U-N-S® number, and must supply their D-U-N-S® number on the SF-424. The D-U-N-S® number is a nine digit identification number that uniquely identifies business entities. If you do not have a D-U-N-S® number, you can get one for free through the D&B Web site: <http://fedgov.dnb.com/webform/displayHomePage.do>.
- **Item #11—Catalog of Federal Domestic Assistance Number (CFDA):** The CFDA number for the WIA Section 166 program is 17.265. This number must be provided in item #11.
- **Item #14—Areas Affected by Project:** Applicants must provide the geographic area(s) for which they were designated. Current grantees that received a waiver must serve the entire geographic service area(s) for which they were designated. Grantees designated for areas that were open to competition must serve the entire geographic area(s) for which they were designated. Grantees may include service areas in an attachment to the SF-424 if additional space is needed.
- **Item #17—Proposed Project Start Date and End Date:** WIA Section 166 Adult and Youth programs are funded for a two-year period and are based on a PY period. The two year plan covers the period from July 1, 2012 through June 30, 2014. (WIA permits the Secretary to make youth funds available for obligation beginning on April 1, 2012, so that grantees can begin planning the youth program. See Section 5: Period of Performance and Section 6: PY 2012 Funding Allocations below for more information).
- **Item #18—Estimated Funding:** The WIA Section 166 program is a formula funded program, which is based on population characteristics, geographic service area, and annual congressional appropriations. Since WIA Section 166 funding awards are calculated by the Department/ETA, it is not necessary for applicants to complete Item #18.
- **Item #19—Is Application Subject to Review By State Under Executive Order 12372 Process?** The WIA Section 166 program is not subject to Executive Order 12372.

3. Budget Information Form and Narrative Standard Form 424A (SF 424A) and Attachment B. SF- 424A can be found at:

<http://apply07.grants.gov/apply/FormLinks?family=15>. Current designated grantees must use the PY 2012 funding allotments listed in Attachment E and newly designated grantees will receive allotment information from the Grant Officer. In preparing the Budget Information Form, the grantee must provide a concise narrative explanation to support the budget request, explained in detail below.

- The budget narrative must provide a description of costs associated with each line item on SF-424A;
- The entire Federal grant amount requested (PY 2012 and PY2013) must be included on the SF-424, and SF-424A and budget narrative, for the Adult and Youth. In the absence of a PY 2013 appropriation, grantees should use PY 2012 figures to plan for PY 2013;
- The amount listed on SF-424, SF-424A and budget narrative must be the same. Please note that the funding amount included on SF-424 will be considered the official funding amount requested if any inconsistencies are found; and
- Grantees that fail to provide an SF-424A with an approved D-U-N-S[®] number, SF-424A, and a budget narrative will not receive funding.

All designated grantees must be registered with the Federal Central Contractor Registry (CCR). Step-by-step instructions for registering with CCR can be found at http://www.grants.gov/applicants/org_step2.jsp.

An awardee must maintain an active CCR registration with current information at all times during which they have an active Federal award or an application under consideration. To remain registered in the CCR database after the initial registration, the applicant is required to 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. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. Failure to register with the CCR will result in your grant not being funded.

4. *Comprehensive Services Form* (if applicable):

WIA regulations at 20 CFR 668.710 require a projection of participant services and expenditures covering the planning cycle. Attachment C is the form grantees will use to describe planned services, cost for services, cost per participant, and performance outcomes. As previously stated, designated grantees seeking to modify their PY 2011 plan must complete the Comprehensive Services Form (Attachment C). Grantees seeking an extension of their PY 2011 plan are not required to submit this form. All grantees newly designated to service areas must also complete this form.

Section VII of Attachment C requires grantees to estimate their performance outcomes for the three performance measures (Entered Employment Rate, Employment Retention Rate, and Average Earnings). When completing Section VII, grantees must plan to meet the “recommended level” of performance for the Entered Employment Rate and the “national performance levels” for Employment Retention and Average Earnings. The Performance Standard Worksheet can be found at: https://ina.workforce3one.org/page/prog_planning/.

Note: The link above includes Performance Standards Worksheets for all WIA Section 166 grantees (126 pages). Please be sure the grantee name on Line A matches your organization when obtaining the recommended level of performance.

- **Entered Employment Rate (EER):** Each WIA Section 166 grantee has a “recommended level” of performance for the Entered Employment Rate which can be found on Line N of the grantee’s Performance Standards Worksheet. The rate on Line One, Column “A” of Section VII must be equal to or greater than the recommended level found on Line N of the Performance Standards Worksheet.
- **Employment Retention:** The “national performance level” for Employment Retention for all grantees is 73.1 percent. This is the level established for the WIA Section 166 Program overall, and does not factor in local economic conditions, nor does it factor in the characteristics of the participants served. Since a level of performance for Employment Retention has not been established for each grantee, ETA will not find grantees deficient for not meeting the Employment Retention rate at the end of PY 2012. However, grantees must strive to achieve a 73.1 percent Employment Retention rate. Therefore, Line Two, Column “B” of Section VII must be equal to or greater than 73.1 percent.

Average Earnings: The “national performance level” for Average Earnings for all grantees is \$10,049. This is the level established for the WIA Section 166 Program overall, and does not factor in the local economic conditions, or the characteristics of participants served.

Thus, a level of performance for Average Earnings has not been established for individual grantees. ETA will not find WIA Section 166 grantees deficient for not meeting the Average Earnings rate at the end of PY 2012. However, grantees must strive to achieve a \$10,049 Average Earnings rate and, therefore, Line Three; Column “C” of Section VII must be equal to or greater than \$10,049.

Adult Performance Measures and Goals	
Measure	Goal
Entered Employment Rate	80.5 Percent
Employment Retention	73.1 Percent
Average Earnings	\$10,049

Note: To assist grantees in the completion of the Attachment C form, a type-ready version, along with instructions and an example of a completed form, can be found at: https://ina.workforce3one.org/page/prog_planning.

5. SYSP Planning Worksheet (ONLY for newly designated grantees that receive youth funding or designated grantees seeking a modification to their SYSP)

WIA regulations at 20 CFR 668.420 require grantees to include performance measures for the SYSP in order to measure program progress. ETA has established two performance indicators for the WIA Section 166 Youth Program, which are:

Youth Performance Measures and Goals	
Measure	Goal
Attainment of Two or More Goals	80 Percent
Educational Attainment for Dropouts	50 Percent

A designated grantee requesting a modification to the SYSP must complete the Planning Worksheet (Attachment D). All newly designated grantees operating the SYSP are also required to complete this form. Grantees must strive to achieve the recommended level of 80 percent performance for “Attainment of Two or More Goals” and 50 percent performance for “Educational Attainment for Dropouts.” A usable version of the SYSP planning worksheet and instructions can be found at: https://ina.workforce3one.org/page/prog_planning.

A grant extension/modification/award letter and Notice of Obligation (NOO) authority from the Grant Officer will serve as the grantee’s notice of an approved grant extension/modification. Unilateral grant extensions/modifications award letters will be issued on or around May 31, 2012 for grantees receiving youth funds, and July 1, 2012 for grantees receiving adult funding only. Grantees must submit the required information for ETA approval no later than June 29, 2012.

B. New Designated Grantees:

All new designated grantees must submit a two-year plan before June 30, 2012, to receive funding. New designated grantees who are acquiring an existing service area must include a caseload transfer strategy in the two- year plan. Newly designated grantees must also submit the items listed in Section 4(A) of this TEGl.

WIA Section 166(e) requires that grantees submit to the Secretary a program plan that describes a two-year strategy for meeting the needs of Indian, Alaska Native, or Native Hawaiian individuals. In order to receive PY 2012 funding, all newly designated WIA Section 166 grantees must submit the items in Section 4 (A) and the full two-year plan.

WIA states that such a plan shall –

- (i) be consistent with the purpose of Section 166;
- (ii) identify the population to be served;
- (iii) identify the education and employment needs of the population to be served in the manner in which the activities to be provided will strengthen the ability of the individual served to obtain or retain unsubsidized employment;
- (iv) describe the activities to be provided and the manner in which such activities are to be integrated with other appropriate activities (e.g., career pathways);

- (v) describe the performance measures to be used to assess the performance of entities in carrying out the activities (see Sections 4 and 5 above);

In addition to meeting the requirements of WIA Section 166(e) indicated above, ETA encourages newly designated grantees to incorporate the Career Pathways model into their two-year plan. Attachment F of this TEGL discusses the Career Pathways model in detail and grantees are expected to incorporate this approach into the planning narrative. By answering the questions in Attachment F, grantees will have addressed all the requirements of the planning narrative. New designated grantees receiving SYSP funds must also describe the services they intend to provide and the target population they intend to serve in the planning narrative.

New PY 2012-PY 2013 grantees are also required to submit Grievance Procedures. According to the WIA regulations at 20 CFR 667.600, grantees must establish and maintain a procedure for grievances and complaints for participants and other interested parties. To ensure the requirements of this section are met, newly designated grantees must provide a copy of their grievance and complaint procedures as an attachment to their two year plan. At a minimum, the grievance procedures must include: 1) a process for addressing grievances and complaints from participants and other applicable parties; 2) an opportunity for a fair and impartial hearing to be completed by the grantee within 60 days of the filing of a grievance; and 3) an opportunity to file a grievance with the Department's WIA Section 166 Indian and Native American Program when a decision is not made within 60 days, or either party is dissatisfied with the local hearing decision. Discrimination complaints filed under provisions of WIA Section 188 may be directed or mailed to the Director, Civil Rights Center, U.S. Department of Labor, Room N-4123, 200 Constitution Avenue, N.W., Washington, D.C. 20210 in accordance with 29 CFR Part 37.

- 5. **Period of Performance.** Grantees requesting an extension and/or modification to their PY 2011 strategic plan will receive a unilateral extension/modification to add PY 2012 and PY 2013 funding to their existing grant when such funds become available. New designated grantees must submit a Comprehensive Service plan for approval. The period of performance for WIA Section 166 grantees is from July 1, 2012 - June 30, 2014. The SYSP performance period begins April 1, 2012 for all grantees operating SYSP programs and covers the period from April 1, 2012 through June 30, 2014.

Grantees should be aware that SYSP funds were not available in their grantee subaccounts on April 1, however, grantees that received a waiver may use "carryover" funds from previous PYs (if available) to implement the SYSP. Waived grantees that do not have carryover funds from previous PYs may use other (nonrestricted) resources to begin operating a SYSP and reimburse the resource for allowable costs (retroactive to April 1) when funds become available in grantees subaccounts. The options in this paragraph are not available on any grantee for areas that were open to competition.

IMPORTANT: WIA Section 166 grantees are advised that issuance of a formal commitment or obligation of the Department PY 2012 funds will only occur when a Notice

of Obligation (NOO)/award letter has been issued by the Grant Officer. Grantees that expend funds prior to receiving an official "designation" letter and a NOO/award letter from the Grant Officer assume the risk of not being reimbursed for funds that have been used for their WIA Section 166 program.

6. **PY 2012 Funding Allocations.** The PY 2012 appropriation level for the Section 166 CSP is \$47.5 million and \$12.3 million for the SYSP. WIA Section 166 grantees should use the allotments on Attachment E for planning purpose and newly designated grantees should use allotment information received from the Grant Officer. As noted above, entities that have been designated as a Section 166 grantee will receive an official NOO/award letter from the Grant Officer.
7. **Administrative Cost Limit.** Division of Indian and Native American Program (DINAP) Bulletin 99-05 (dated December 10, 1999) provides ETA's policy on administrative cost limits for the WIA Section 166 Program. The policy sets a baseline limit of 15 percent (of the funding year allocation) for administrative costs. ETA may approve a higher administrative limit, not to exceed 20 percent, if grantees provide acceptable justification for a higher limit, as outlined in the above bulletin. In addition, grantees requesting a rate higher than 15 percent for this two-year plan must include a detailed administrative budget and narrative justification with the two-year plan. The budget should include items such as, but not limited to, indirect costs, staff salaries, fringe benefits, rental space, utilities, equipment, supplies, and travel. 20 CFR 667.220 defines what functions and activities constitute administrative costs subject to the administrative cost limit.
8. **Waivers.** WIA Section 166(h)(3) permits waivers of any regulatory requirement except for those areas cited in 20 CFR 668.920; a waiver can be requested at any time. When submitting a waiver, grantees must follow the WIA regulations at 20 CFR 661.420(c). Waiver approvals require a separate process and, therefore, should not be included in a plan modification.
9. **Acquisition of Equipment.** Grant Officer approval is required prior to the acquisition of equipment that has a useful life of more than one year and an acquisition cost of \$5,000 or more per unit pursuant to Office of Management and Budget (OMB) Circulars A-102 [29 CFR 97.33] and A-110 [29 CFR 95.2 (n)]. Approval of equipment is a separate process. Grantees must submit requests for the purchase of equipment separately. These requests will not be approved under an extension/modification.
10. **Assurances and Certifications.** Newly designated grantees must submit the assurances and certifications with their plan (see Attachment G). Newly designated grantees should review the assurances and certifications to ensure they understand and agree to the responsibilities and requirements in administering a WIA Section 166 grant.
11. **Action Requested.** Grantees requesting an extension and/or modification to the PY 2011 strategic plan must submit the items listed in Section 13. Upon approval, the Grant Officer will issue a unilateral extension/modification to add PY 2012 and PY 2013 funding to the existing WIA Section 166 grant when such funds become available. Grantees receiving an

extension/modification must spend PY 2012 and PY 2013 funds in accordance with the strategies and services identified in the PY 2011 approved plan. All documents must be submitted to the DINAP office by close of business June 29, 2012. Grant extensions/modifications must be approved by the Grant Officer before PY 2012 funds can be obligated.

New designated grantees must submit the items listed in Section 13, below. Upon approval of the two year plan and required documentation, the Grant Officer will issue an NOO to obligate PY 2012 and PY 2013 funds to the new WIA Section 166 grant when such funds become available. Newly designated grantees must submit the two-year plan and documentation by June 30, 2012. The PY 2012 Strategic Plan must be approved by the Grant Officer before PY 2012 funds can be obligated.

Please submit the required documents to the following address:

U.S. Department of Labor
Division of Indian and Native American Program
200 Constitution Avenue, N.W.
Room S-4209
Washington, D.C. 20210
ATTN: MIS-CSP DESK

- 12. Inquiries.** Please direct questions to your designated Federal Project Officer provided below.

Andrea Brown (East)	(202)693-3736	Duane Hall (Midwest)	(972)850-4637
Craig Lewis (Midwest)	(202)693-3384	Guy Suetopka (West)	(415)625-7988
Dawn Anderson (Midwest)	(202)693-3745	Si Seciwa (West)	(415)625-7987

- 13. Attachments.** WIA Section 166 grantees requesting an extension must submit the attachments listed under Section 13 (A) of this TEGL. Designated grantees seeking to modify their existing grant must include the information listed under Section 13(B). New designated grantees must include the attachments listed in both 13(A) and 13 (B) of this section. Items listed in Section C are for informational purposes only, and need not be submitted.

A. Required Documents For Grantees Requesting an extension and Newly Designated Grantees

Cover Letter
Grant Application – Standard Form 424 (Attachment A)
Budget Information Form and Narrative Standard Form 424A (Attachment B)

B. Additional Required Documents For Grantees Requesting Modification and For Newly Designated Grantees:

Comprehensive Services Form (Attachment C)
Supplemental Youth Planning Worksheet, if applicable (Attachment D)
Narrative, if applicable (Attachment F)
Assurance and Certifications (Attachment G)

C. The Following Attachments are for Informational Purposes Only:

Designated Grantees Granted Waivers, PY 2012 Funding Allotments
(Attachment E) are available as type-ready forms at :
https://ina.workforce3one.org/page/prog_planning

Application for Federal Assistance SF-424

Version 02

*1. Type of Submission: ☐ Preapplication ☐ Application ☐ Changed/Corrected Application	*2. Type of Application ☐ New ☐ Continuation ☐ Revision	* If Revision, select appropriate letter(s) *Other (Specify) _____
---	--	---

3. Date Received: _____	4. Applicant Identifier: _____
--------------------------------	---------------------------------------

5a. Federal Entity Identifier: _____	*5b. Federal Award Identifier: _____
---	---

State Use Only:

6. Date Received by State: _____	7. State Application Identifier: _____
---	---

8. APPLICANT INFORMATION:

*a. Legal Name: _____

*b. Employer/Taxpayer Identification Number (EIN/TIN): _____	*c. Organizational DUNS: _____
---	---------------------------------------

d. Address:

*Street 1: _____
Street 2: _____
*City: _____
County: _____
*State: _____
Province: _____
*Country: _____
*Zip / Postal Code _____

e. Organizational Unit:

Department Name: _____	Division Name: _____
-------------------------------	-----------------------------

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: _____	*First Name: _____
Middle Name: _____	
*Last Name: _____	
Suffix: _____	

Title: _____

Organizational Affiliation: _____
--

*Telephone Number:	Fax Number:
*Email:	

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424	Version 02
*9. Type of Applicant 1: Select Applicant Type: Type of Applicant 2: Select Applicant Type: Type of Applicant 3: Select Applicant Type: *Other (Specify)	
*10 Name of Federal Agency:	
11. Catalog of Federal Domestic Assistance Number: _____ CFDA Title: _____	
*12 Funding Opportunity Number: _____ *Title: _____	
13. Competition Identification Number: _____ Title: _____	
14. Areas Affected by Project (Cities, Counties, States, etc.):	

***15. Descriptive Title of Applicant's Project:**

OMB Number: 4040-0004

Expiration Date: 01/31/2009

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

*a. Applicant:

*b. Program/Project:

17. Proposed Project:

*a. Start Date:

*b. End Date:

18. Estimated Funding (\$):

*a. Federal

*b. Applicant

*c. State

*d. Local

*e. Other

*f. Program Income

*g. TOTAL

***19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on _____
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E. O. 12372

***20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

☐ Yes ☐ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

☐ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

Authorized Representative:

Prefix:

*First Name: _____

Middle Name: _____

*Last Name: _____

Suffix: _____	
*Title: _____	
*Telephone Number: _____	Fax Number: _____
* Email: _____	
*Signature of Authorized Representative: _____	*Date Signed: _____

Authorized for Local Reproduction

Standard Form 424 (Revised 10/2005)

Prescribed by OMB Circular A-102

Application for Federal Assistance SF-424

Version 02

***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.	10.	Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.	13.	Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.	14.	Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
6.	Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov .	16.	Congressional Districts Of: 15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov .	18.	Estimated Funding: (Required) Enter the 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 only the amount of the change. For decreases, enclose the amounts in parentheses.
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) 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. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
		20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.

	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the 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.)		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. <table border="0"> <tr> <td data-bbox="168 352 487 959"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority </td> <td data-bbox="487 352 797 959"> M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify) </td> </tr> </table>	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		
A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)				

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(1)	(2)	(3)			Total (5)
a. Personnel	\$	\$	\$	\$	\$	0.00
b. Fringe Benefits						0.00
c. Travel						0.00
d. Equipment						0.00
e. Supplies						0.00
f. Contractual						0.00
g. Construction						0.00
h. Other						0.00
i. Total Direct Charges (sum of 6a-6h)	0.00	0.00	0.00	0.00	0.00	0.00
j. Indirect Charges						0.00
k. TOTALS (sum of 6i and 6j)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00
7. Program Income	\$	\$	\$	\$	\$	0.00

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS		
8.	\$	\$	\$	\$	\$	0.00
9.						0.00
10.						0.00
11.						0.00
12. TOTAL (sum of lines 8-11)	\$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00
SECTION D - FORECASTED CASH NEEDS						
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
	\$		\$	\$	\$	\$
13. Federal	0.00 \$		\$	\$	\$	
14. Non-Federal	0.00					
15. TOTAL (sum of lines 13 and 14)	\$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
(a) Grant Program	FUTURE FUNDING PERIODS (Years)					
	(b) First	(c) Second	(d) Third	(e) Fourth		
16.	\$	\$	\$	\$	\$	
17.						
18.						
19.						
20. TOTAL (sum of lines 16-19)	\$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:		22. Indirect Charges:				
23. Remarks:						

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For *new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

COMPREHENSIVE SERVICES PROGRAM

Grantee: Example of Grantee Attachment C

Section I: Total Funds Available

Section I. Total Funds Available	Funding
1. PY 2012 Funding (See Attachment E)	\$100,000
2. Estimated carry-over from prior program years	\$20,000
3. Total Funds Available	\$120,000

Sections II, III, IV & V: Total Participants, Customers and Exiters

Section II. Estimated Participants, Funding and Efficiency	a. Participants	b. Funding	c. Efficiency
1. Number of New Participants Enrolled in the Program for PY 2012	25		
2. Participants Carried Over from the Previous program year	5		
3. Total Participants, Funding and Efficiency (w/out self service customers)	30	\$120,000	\$4,000.00
Section III. Estimated Self Service "Customers"			
4. Number of Customers that Receive Self Services Only for PY 2012	10		
Section IV. Efficiency - Participants and Self Service Customers			
5. Total Participants, Funding and Efficiency (with self service customers)	40	\$120,000	\$3,000
Section V. Estimated Exiters			
6. Number of participants in line II.3 above that will exit in PY 2012	30		

Section VI: Activities and Costs

Section VI. Estimated Participants, Funding and Efficiency	Participants	Costs
1. CRT - Job Skills	12	21,000
2. CRT - Basic Education	5	2,000
3. Work Experience	3	19,000
4. On-the-Job Training	0	0
5. Supportive Services	20	4,000
6. Training Assistance	7	50,000
7. Administrative Costs - Percentage: 0.2		24,000
8. Total Participants and Costs	47	\$120,000

Section VII: Common Measures Performance Outcomes

Section VII. Common Measures Projected Outcomes	Numerator Denominator	Numerator Denominator	a. Entered Emp. Rate	b. Retention Rate	c. Average Earnings
1. Entered Employment Rate	Employed 1 st qtr. after exit Exiters during PY 2012	25 30	83.3%		
2. Retention Rate	Emp. 2 nd and 3 rd qtr. after exit Exiters during PY 2012	19 30		63.3%	
3. Average Earnings	Earnings 2 nd and 3 rd qtr. Exiters during PY 2012	\$342,000 30			\$11,400

<Enter Grantee Name Here>			
1. Enter the estimated number of youth participants to be served for PY 2012	25		
2. From the number above, estimate how many participants will exit in PY 2012	20		
3. From no. 2 above, enter the estimated number of youth dropouts for PY 2012	4		
Youth Participant Goals and/or Attainments Summary Minimum Performance Requirement - at least 60% of Indian and Native American (INA) youth enrolled in the Supplemental Youth Services program for the program year must attain a minimum of (2) two of the (13) thirteen goals listed below. Enter the estimated number of exiters from line 2 above that will attain the goals indicated below			Attainment Rate
4. Completed Work Readiness	20		100.0%
5. Completed Internship or Vocational Exploration Program	18		90.0%
6. Completed Career Assessment	20		100.0%
7. Entered Unsubsidized Employment (Including Military)	2		10.0%
8. Remained in School	5		25.0%
9. Returned to School Full Time	0		0.0%
10. Enrolled in Job Corps	0		0.0%
11. Improved Basic Skills by at Least Two Grade Levels	10		50.0%
11.a Improved Basic Skills by at Least Two Grade Level (Dropouts Only)		2	
12. Attained High School Diploma	2		10.0%
12.a Attained High School Diploma (Dropouts Only)		0	
13. Attained GED	2		50.0%
14. Completed Occupational Skills Training	0		0.0%
15. Completed Leadership Skills Training	0		0.0%
16. Entered Other (Non-Supplemental Youth) Training Program	0		0.0%
17. Successful Completion of Summer Employment	15		75.0%
SECTION V. Performance Outcomes / Performance	Value	Numerator Denominator	Met Goal?
18. Attainment of Two or More Goals (At least two goals/attainments from lines 4 - 17 above must be greater than 60%)	4		Yes
19. Educational Attainment for Dropouts (planned Attainment rate must be equal to or greater than 50%.) An educational attainment is achieved when a dropout - who has exited the program - improves basic skills by at least two grade levels (line 11.a above), attains of a high school diploma (line 12.a above) or attains a GED (line 13 above).	100%	4 4	Yes

**Designated Grantees Granted Waivers,
PY 2012 Funding Allotments**

Grant Type	State	Grantee	Total	
		Appropriation Total	\$47,561,938	\$12,365,295
		TAT	(- 475,619)	
		Grantee Total	\$47,086,319	\$12,365,295
			(CSP) ADULT	(SYSP) YOUTH
	AL	Poarch Band of Creek Indians	80,113	0
477	AK	Aleutian/Pribilof Islands Association	24,276	10,771
477	AK	Association of Villiage Council	348,320	147,440
477	AK	Bristol Bay Native Association	100,353	43,083
477	AK	Central Council of Tlingit and Haida	164,010	61,034
477	AK	Chugachmiut	23,653	5,266
477	AK	Cook Inlet Tribal Council	375,561	131,163
477	AK	Copper River Native Association	15,892	8,377
477	AK	Kawerak Incorporated	130,643	53,854
	AK	Kenaitze Indian Tribe	37,536	20,344
477	AK	Kodiak Area Native Association	24,668	8,377
477	AK	Maniilaq Association Inc.	97,850	46,673
477	AK	Metlakatla Indian Community	15,824	4,787
477	AK	Orutsararmuit Native Council	44,824	14,361
477	AK	Tanana Chiefs Conference, Inc.	245,945	101,724
	AZ	American Indian Association of Tucson	293,350	0
	AZ	Colorado River Indian Tribes	53,712	28,722
	AZ	Gila River Indian Community	442,776	189,086
	AZ	Hopi Tribal Council	188,559	105,314
	AZ	Hualapai Tribe	28,253	17,952

	AZ	Inter Tribal Council of Arizona, Inc.	69,176	34,227
	AZ	Native Americans for Community Action	171,465	0
	AZ	Navajo Nation	5,288,334	2,745,345
	AZ	Pasqua Yaqui Tribe	87,179	49,067
	AZ	Phoenix Indian Center, Inc.	1,066,204	0
	AZ	Quechan Indian Tribe	29,148	15,558
	AZ	Salt River Pima-Maricopa Indian Council	73,442	46,673
	AZ	San Carlos Apache Tribe	334,382	198,661
477	AZ	Tohono O'Odham Nation	321,557	199,857
	AZ	White Mountain Apache Tribe	393,888	238,153
	AR	American Indian Center of Arkansas, Inc.	276,474	0
	CA	California Indian Manpower Consortium, Inc.	2,890,237	99,569
	CA	Candelaria American Indian Council	278,276	0
	CA	Indian Human Resources Center, Inc.	291,676	0
	CA	Northern CA Indian Development Council, Inc.	259,720	55,290
	CA	Southern CA Indian Center, Inc.	1,425,057	0
	CA	Tule River Tribal Council	106,352	7,181
	CA	United Indian Nations, Inc.	382,767	0
	CA	Ya-Ka-Ama Indian Education & Development	54,319	0
	CO	Denver Indian Center	539,187	0
	CO	Southern Ute Indian Tribe	32,489	9,573
	CO	Ute Mountain Ute Indian Tribe	74,874	20,344
	FL	Florida Governor's Council on Indian Affairs	990,726	0
	FL	Miccosukee Corporation	103,160	5,027
	HI	Alu Like, Inc.	1,141,903	1,673,057
477	ID	Nez Perce Tribe	59,493	13,882
477	ID	Shoshone-Bannock Tribes	154,543	51,460
	IN	American Indian Center of Indiana, Inc.	204,002	0
	KS	United Tribes of Kansas and S.E. Nebraska	173,055	9,335
	LA	Inter-Tribal Council of Louisiana, Inc.	419,566	3,590
	ME	Penobscot Nation	162,586	22,498
	MA	Mashpee-Wampanoag Indian Tribal Council, Inc.	50,030	0
	MA	North American Indian Center of Boston, Inc.	181,128	0

477	MI	Grand Traverse Band of Ottawa & Chippewa Indians	26,735	0
	MI	Inter-Tribal Council of Michigan, Inc.	58,237	26,329
	MI	MI Indian Employment and Training Services, I	398,148	0
	MI	North American Indian Association of Detroit	118,742	0
	MI	Potawatomi Indian Nation	51,714	0
	MI	Sault Ste. Marie Tribe of Chippewa Indians	142,303	17,473
	MI	Southeastern Michigan Indians, Inc.	63,528	0
	MN	American Indian OIC	221,939	0
	MN	Bois Forte R.B.C.	16,968	8,138
	MN	Fond Du Lac R.B.C.	165,559	16,275
	MN	Leech Lake R.B.C.	127,694	47,631
477	MN	Mille Lacs Band of Chippewa Indians	45,968	21,302
	MN	Minneapolis American Indian Center	294,591	0
477	MN	Red Lake Tribal Council	185,046	75,396
477	MN	White Earth R.B.C.	100,475	49,067
	MS	Mississippi Band of Choctaw Indians	250,272	60,794
	MO	American Indian Council	615,286	8,377
477	MT	Assiniboine & Sioux Tribes	227,722	123,265
	MT	B.C. of the Chippewa Cree Tribe	117,702	34,706
477	MT	Blackfeet Tribal Business Council	239,729	113,692
477	MT	Confederated Salish & Kootenai Tribes	235,617	124,462
	MT	Crow Indian Tribe	137,196	78,746
477	MT	Fort Belknap Indian Community	101,761	45,477
	MT	Montana United Indian Association	286,033	0
	MT	Northern Cheyenne Tribe	178,335	88,559
	NE	Indian Center, Inc.	235,918	0
	NE	Omaha Tribe of Nebraska	66,078	41,886
477	NE	Winnebago Tribe	37,334	19,148
	NV	Inter-Tribal Council of Nevada	236,027	43,801
	NV	Las Vegas Indian Center, Inc.	159,298	0
477	NV	Reno Sparks Indian Colony	14,168	8,377
477	NV	Shoshone-Paiute Tribes	101,790	13,164
	NM	Alamo Navajo School Board	74,320	44,280

	NM	Eight Northern Indian Pueblo Council	34,133	12,446
	NM	Five Sandoval Indian Pueblos, Inc.	127,744	83,533
	NM	Jicarilla Apache Tribe	51,502	25,132
	NM	Mescalero Apache Tribe	73,094	55,050
	NM	National Indian Youth Council	1,334,754	0
477	NM	Ohkay Owingeh	22,238	11,967
	NM	Pueblo of Acoma	113,550	27,525
	NM	Pueblo of Isleta	33,274	10,531
477	NM	Pueblo of Laguna	72,729	33,509
477	NM	Pueblo of Taos	33,953	16,754
477	NM	Pueblo of Zuni	237,725	116,084
	NM	Ramah Navajo School Board, Inc.	75,128	27,525
	NM	Santa Clara Indian Pueblo	27,053	11,967
	NM	Santo Domingo Tribe	83,533	40,690
	NY	Native Am. Comm. Services of Erie & Niagara Co	132,795	0
	NY	Native American Cultural Center, Inc.	173,320	2,873
477	NY	Seneca Nation of Indians	198,422	28,722
	NY	St. Regis Mohawk Tribe	115,983	20,344
	NC	Cumberland County Association for Indian People	54,213	0
	NC	Eastern Band of Cherokee Indians-Reservation Only	97,160	51,460
	NC	Guilford Native American Association	65,342	0
	NC	Haliwa-Saponi Tribe, Inc.	50,905	0
	NC	Lumbee Regional Development Association	855,806	0
	NC	North Carolina Commission of Indian Affairs	247,991	0
477	ND	Spirit Lake Sioux Tribe	130,237	67,017
	ND	Standing Rock Sioux Tribe	188,543	111,298
477	ND	Three Affiliated Tribes - Ft. Berthold Reservation	157,476	50,263
	ND	Turtle Mountain Band of Chippewa Indians	256,715	114,888
	ND	United Tribes Technical College	200,931	0
	OH	North America Indian Cultural Centers	440,315	0
	OK	Absentee Shawnee Tribe of Oklahoma	19,533	11,728
477	OK	Cherokee Nation of Oklahoma	1,131,284	604,598
	OK	Cheyenne-Arapaho Tribes	135,466	93,346

477	OK	Chickasaw Nation of Oklahoma	309,669	181,667
477	OK	Choctaw Nation of Oklahoma	497,393	260,891
477	OK	Citizen Band Potawatomi Indians of Oklahoma	277,717	196,028
	OK	Comanche Tribe of Oklahoma	132,295	64,625
477	OK	Creek Nation of Oklahoma	622,124	318,335
	OK	Four Tribes Consortium of Oklahoma	83,530	60,794
	OK	Inter-Tribal Council of N.E. Oklahoma	64,129	24,175
	OK	Kiowa Tribe of Oklahoma	110,004	80,661
477	OK	Osage Tribal Council	83,948	46,673
	OK	OTOE-Missouria Tribe of Oklahoma	28,336	15,079
477	OK	Pawnee Tribe of Oklahoma	26,994	13,164
	OK	Ponca Tribe of Oklahoma	70,758	50,024
	OK	Seminole Nation of Oklahoma	86,317	64,625
	OK	Tonkawa Tribe of Oklahoma	54,007	25,132
	OK	United Urban Indian Council, Inc.	315,117	178,316
	OK	Wyandotte Tribe of Oklahoma	94,268	0
477	OR	Confed. Tribes of Siletz Indians of Oregon	378,770	958
477	OR	Confed. Tribes of the Umatilla Indian Res	23,630	13,164
	OR	Confederated Tribes of Warm Springs	110,871	37,100
	OR	Organization of Forgotten Americans	256,807	5,505
	PA	Council of Three Rivers	810,301	0
	RI	Rhode Island Indian Council	548,284	0
	SC	South Carolina Indian Development Council, Inc.	212,785	2,394
477	SD	Cheyenne River Sioux Tribe	194,393	126,855
	SD	Lower Brule Sioux Tribe	48,881	17,952
	SD	Oglala Sioux Tribe	576,001	372,189
477	SD	Rosebud Sioux Tribe	424,075	219,005
477	SD	Sisseton-Wahpeton Sioux Tribe	108,174	52,657
	SD	United Sioux Tribe Development Corp.	491,052	11,967
	SD	Yankton Sioux Tribe	93,956	47,870
	TN	Native American Indian Association, Inc.	201,050	0
	TX	Alabama-Coushatta Indian Tribal Council	763,499	958
	TX	Dallas Inter-Tribal Center	336,834	0

	TX	Ysleta del Sur Pueblo	565,303	15,558
	UT	Indian Training & Education Center	309,645	5,266
	UT	Ute Indian Tribe	102,971	53,854
	VT	Abenaki Self-Help Association/ NH Ind. Council.	70,425	0
	VA	Mattaponi Pamunkey Monacan Consortium	218,757	0
	WA	American Indian Community Center	351,173	16,275
477	WA	Colville Confederated Tribes	159,161	44,280
	WA	Confederated Tribes & Bands of the Yakama Nation	175,925	97,894
	WA	Lummi Indian Business Council	97,241	23,935
477	WA	Makah Tribal Council	29,794	11,967
	WA	Puyallup Tribe of Indians	113,818	12,925
	WA	United Indians for All Tribes Foundation	248,607	0
477	WA	Spokane Reservation	34,848	21,542
477	WA	The Tulalip Tribes	38,603	19,148
	WA	Western WA Indian Empl. and Trng Pgm.	549,154	70,130
477	WI	Ho-Chunk Nation	152,785	4,308
	WI	Lac Courte Oreilles Tribal Governing Board	74,190	29,919
	WI	Lac Du Flambeau Band of Lake Superior Chippewa	36,754	10,771
477	WI	Menominee Indian Tribe of Wisconsin	85,786	44,280
	WI	Oneida Tribe of Indians of WI, Inc.	143,344	14,361
	WI	Spotted Eagle, Inc.	189,407	0
477	WI	Stockbridge-Munsee Community	48,416	3,350
	WI	Wisconsin Indian Consortium	74,320	23,696
477	WY	Eastern Shoshone Tribe	112,658	32,073
	WY	Northern Arapaho Business Council	191,555	72,044

NOTE: A revised CSP narrative is required only if a modification is being requested or for newly designated grantees.

Two-Year Comprehensive Service Plan (CSP) Narrative

To further the Secretary's strategic goal of preparing workers for good jobs, and in support of the Native American Employment and Training Council's (Council) recommendations - to enhance educational attainment and careers, newly designated WIA Section 166 grantees will begin planning for the "Career Pathways" Program, "Trails to Opportunity," in its Two-Year PY 2012 Strategic Plan. Grantees seeking a modification to their existing PY 2011 career pathway strategies must also submit a revised narrative.

All WIA Section 166 grantees will continuously receive technical assistance and guidance throughout PY 2012 and PY 2013 on implementing career pathways plans. The Department will work closely with the grantee community to successfully implement the career pathways model.

Illiteracy and low education attainment continue to hinder the ability of Indian and Native Americans to compete in a competitive labor market. By using the career pathway framework, WIA Section 166 grantees can assist low-income Indian and Native American adults and youth in addressing long-term education and training needs, providing their customers with the skills necessary to get good jobs. Intensive training and support services are needed to enhance worker skills and help Indians and Native Americans to succeed in a knowledge-based economy.

Preparing Indian and Native American workers for good jobs requires that the WIA Section 166 Program focus on helping Indian and Native Americans overcome a multitude of barriers to employment, providing additional opportunities for education and work experiences, and targeting assistance towards skills needed to secure good jobs, especially in high-growth industries.

The "Career Pathways" Program, "Trails to Opportunity," plan consists of a connected series of training and education programs, with integrated support services, work experiences, and learning on the job, that enable adults and youth to combine work and learning. The career pathways plan provides clear sequences of coursework and credentials that help individuals of varying skill levels earn credentials valued by employers, enter more rewarding careers in high-demand and emerging industries and occupations, and advance to increasingly higher levels of education and employment. A career pathways program consists of six key elements that usually occur simultaneously that include:

- (a) Building Cross-Agency Partnerships: means establishing a diverse group of representatives from tribal, state, local agencies, and/or members of the business

community to design, create, and implement a shared vision based on the needs of the community. Recommended partners should include, but are not limited to, tribal community colleges and education, Temporary Assistance for Needy Families providers, veteran affairs offices, social services agencies, workforce investment boards, and/or local One-Stop Career Centers.

- (b) Engaging Employers and Gap Analysis: requires conducting a labor market analysis to identify the employment and training needs in the area. Assessing the gaps is a way for grantees to identify the best sectors around which to build career pathways. A career pathways plan should target high-demand and growing employment opportunities on or near the reservation or approved service area (e.g., hospitality, health care, construction, art, etc). The market analysis plan should also include an outreach strategy to engage employers in the target areas.
- (c) Clarifying Roles and Responsibilities: identifying, defining, and formalizing the roles and responsibilities of the career pathways team are critical components of the plan. The career pathways team guides the process when developing the plan, identifying key roles and responsibilities of team members, identifying labor market information, and developing a program design. The career pathways team should produce and use a written memorandum of understanding to guide this process.
- (d) Program Design: provides a clear sequence of training, education, coursework, and credentials that meet the needs of high-demand industries. The program design should be created around high-demand industries in the area that support career ladders that pay family-sustaining wages. In addition, the program design should be supported by the tribal leadership, the community, and/or the state.
- (e) Identifying Funding Needs/Sources: to operate the career pathways program and core components of the system including program development, professional development, operational cost, and supportive services. Partners will work together to raise and leverage funding from tribal, Federal-foundations, state, and local sources.
- (f) Align Policies and Programs: identifying and coordinating employment and training services with other tribal, local, or state agencies are keys to implementing a career pathway system. In this area, agencies and programs work cooperatively across organizations to leverage resources and foster systematic change.

Career pathways are an approach to linking education and training services in ways that will lead to sustainable jobs. The long term goals are to 1) increase the number of Indian and Native American individuals who earn a high school diploma, GED, or obtain a recognized credential that enable them to compete for employment in high-demand and emerging industries and occupations; 2) increase the number of participants that obtain long term, sustainable employment; 3) establish multiple entry and exit points for individuals along the education and training continuum; and 4) create systemic change and enhance partnerships that better connect education, training, supportive services, and the workforce system.

Links such as <http://www.careeronestop.org/> or <http://www.learnwork.workforce3one.org/> may assist grantees with more information in developing career pathways strategies.

Question 1: What are the specific goals of the WIA Section 166 grantee's program for the program year(s) involved and what services does the grantee intend to make available? What method will the grantee use to target its services to specific segments of its services population? How will the program integrate the Veteran Priority of Service protocol?

{Enter your response to this question here}

Question 2: How will the grantee consult with tribal (or appropriate tribal departments), states, the governors' office, One-Stop Career Centers, Workforce Investment Boards, local agencies, veterans' offices, and/or members of the business community to design and implement a shared career pathways plan based on the needs of the community?

{Enter your response to this question here}

Question 3: Which of the potential tribal or other community officials will be responsible for identifying, defining, and formalizing the career pathways plan?

{Enter your response to this question here}

Question 4: Who are the other providers in the area that are potential partners (e.g., tribal community colleges and education providers, Temporary Assistance for Needy Families providers, veteran offices, social services agencies, workforce investment boards or local One-Stop Career Centers, business representatives, and labor-management organizations) for the grantees' career pathway plan?

{Enter your response to this question here}

Question 5: Within the approved service area, what are the prospective employment opportunities and/or the best sectors around which to build career pathways? Identify and briefly describe the target high-demand and growing employment opportunities on or near the reservation or approved service areas (e.g., hospitality, health care, construction, artistry, or other appropriate entrepreneurial opportunities). What is the grantee's outreach strategy to engage the potential employers identified in the approved service areas? That is, how will the grantee work with local employers (in your approved or designated service area) to place participants into jobs?

{Enter your response to this question here}

Question 6: How will the grantee identify and coordinate employment and training services with other tribal, local, One-Stop Career Center, or state agencies to ensure non-duplication of its employment and training services? What are some of the potential Federal or state resources that can be leveraged?

{Enter your response to this question here}

Question 7: What are the current educational or career needs in your approved or designated service areas and how will the grantee prepare its customers, regardless of their skill level, to obtain a high school diploma, GED, training credential, employment, a postsecondary education, or enter the military?

{Enter your response to this question here}

Supplemental Youth Services Program (SYSP) Planning Narrative

A SYSP plan narrative is required only for newly designated grantees receiving SYSP funding or designated grantees seeking a modification to their existing SYSP

Question 1: What is the projected number of youth to be served in SYSP and the target population to be served (e.g., drop-outs, juvenile offenders, and/or college students)? In addition, what are the strategies for recruiting and including youth participants in the program's career pathway?

{Enter your response to this question here}

Question 2: What services will the grantee make available to youth participants and what are the types of career training that will be offered to prepare participants to enter a good job?

{Enter your response to this question here}

Question 3: Relevant cultural activities are an important component of WIA Section 166 grantee communities. How will the program interact with educational providers that prepare Indian and Native American students to successfully move into postsecondary education while maintaining or promoting cultural identity?

{Enter your response to this question here}

Question 4: How will the SYSP partner with other educational providers to prepare Indian and Native American youth to obtain a high school diploma, GED, certificate, or postsecondary education?

{Enter your response to this question here}

**WORKFORCE INVESTMENT ACT
INDIAN AND NATIVE AMERICAN PROGRAMS
ASSURANCES AND CERTIFICATIONS
FOR
PROGRAM YEAR 2012**

By signing the Agreement on the line below, the Grantee's signatory official agrees to the certifications and assurances referenced herein, and as detailed in the attached documents.
(NOTE: Please complete and check document boxes as appropriate.)

(GRANTEE)

(NAME OF SIGNATORY OFFICIAL)

(SIGNATURE)

(DATE)

ASSURANCES AND CERTIFICATIONS

The Department of Labor will not award a grant or agreement where the grantee has failed to accept the ASSURANCES AND CERTIFICATIONS contained in this section. In performing its responsibilities under the Grant, the Grantee hereby certifies and assures that it will fully comply with the following:

Assurances - Non-Construction Programs (SF-424B)

Debarment and Suspension Certification (20 CFR Part 98)

Certification Regarding Lobbying (29 CFR Part 93)

Drug Free Workplace Certification (29 CFR Part 98)

Nondiscrimination and Equal Opportunity Assurance (29 CFR Part 37)

Certification of Non-Delinquency

By signing the face sheet of this Grant Agreement, the Grantee is accepting the above assurances and certifications as detailed below:

A. ASSURANCES - NON-CONSTRUCTION PROGRAMS. Some of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal Assistance, and the institutional managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C.47284763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education

Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of handicaps; (c) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616) as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd.3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 *et seq.*) as amended, relating to nondiscrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a 7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act (40.327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with Flood Insurance Purchase Requirements of Section 102(A) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 *et seq.*); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 *et seq.*); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93.523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq). related to protecting components or potential components of the national wide and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a.1 et seq)..
14. Will comply with P.L. 93.348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq). pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq). which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

B. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS - PRIMARY COVERED TRANSACTIONS.

The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted 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;
3. Are not presently indicted or otherwise criminally or civilly charged by a government entity (Federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
4. 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.

C. CERTIFICATION REGARDING LOBBYING - Certification for Contracts, Grants, Loans, and Cooperative Agreements

By accepting this grant, the signee hereby certifies, to the best of his or her knowledge and believes that:

1. No Federally one-year appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.
2. If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit **Standard Form - LLL, "Disclosure Form to Report Lobbying,"** in accordance with its instructions.
3. The signer shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

D. CERTIFICATION REGARDING DRUG FREE WORKPLACE REQUIREMENTS

The grantee certifies that it will provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about:
 - A. The dangers of drug abuse in the workplace;
 - B. The grantee's policy of maintaining a drug-free workplace;

- C. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - D. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (1);
 4. Notifying the employee in the statement required in paragraph (1) that, as a condition of employment under the grant, the employee will:
 - A. Abide by the terms of the statement; and
 - B. 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;
 5. Notifying the agency in writing, within 10 calendar days after receiving notice under subparagraph (4)(B) from an employer 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 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.
 6. Taking one of the following actions within 30 calendar days of receiving notice under subparagraph (4)(B) with respect to any employee who is so convicted:
 - A. 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;
 - B. 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; and
 7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs ((1), (2), (3), (4), (5), and (6)).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with this specific grant.

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

Check () if there are additional workplaces on file that are not identified above.

E. NONDISCRIMINATION AND EQUAL OPPORTUNITY ASSURANCE

As a condition of the award of financial assistance from the Department of Labor under Title I or WIA, the grant applicant assures that it will comply with the nondiscrimination and equal opportunity provisions of the following laws:

- (1) Section 188 of the Workforce Investment Act (WIA) of 1998 prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation, or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in an WIA Title I - financially assisted program or activity;
- (2) Title VI of the Civil Rights of 1964, as amended, which prohibits discrimination on the basis of race, color, and national origin;
- (3) Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination on the basis of age; and individuals with disabilities;
- (4) The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
- (5) Title IX of the Education Amendments of 1972, as amended, which prohibits the discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I - financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

FY 2000 Statutory Requirements

(Imposed by Public Law 106-113; November 17, 1999)

Title V – GENERAL PROVISIONS

Section 503(a). No part of any appropriation contained in this Act shall be used, other than for normal and recognized executive-legislative relationships, for publicity propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat legislation pending before the Congress or any State legislature, except in presentation to the Congress or any State legislature itself.

(b) No part of any appropriation contained in this Act shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence legislation or appropriations pending before the Congress or any State legislature.

Section 505. Notwithstanding any other provision of this Act, no funds appropriated under this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Section 506(a). Purchase of American-Made Equipment and Products. It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made.

(b) Notice Requirement in providing financial assistance to, or entering into any contract with, any entity using funds made available in the Act, the head of each Federal agency, to the greatest extent practicable, shall provide to such entity a notice describing the statement made in subsection (a) by the Congress.

(c) Prohibition of Contracts with Person Falsely Labeling Products Made in America - if it has been finally determined by a court or Federal agency that any person intentionally affixed a label bearing a "Made in America" inscription, or any inscription with the same meaning, to any product sold in or shipped in the United States that is not made in the United States, the person shall be ineligible to receive any contract or subcontract made with funds made available in this Act, pursuant to the debarment, suspension, and ineligibility procedures described in Section 9.400 through 9/409 or Title 48, Code of Federal Regulations.

Section 507. When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state: (1) the percentage of the total costs of the program or project which will be financed with Federal money; (2) the dollar amount of Federal funds for the project or program; and (3) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

Section 508(a). None of the funds appropriated under this Act, and none of the funds in any trust fund to which funds are appropriated under this Act, shall be expended for any abortion.

(b) None of the funds appropriated under this Act, and none of the funds in any trust fund to which funds are appropriated under this Act, shall be expended for health benefits coverage that includes coverage of abortion.

(c) The term “health benefits coverage”: means the package of services covered by a managed care provider or organization pursuant to a contract or other arrangement.

Section 509(a). The limitation established in the preceding section shall not apply to an abortion

(1) if the pregnancy is the result of an act of rape or incest; or

(2) in the case where a woman suffers from a physical disorder, physical injury, or physical illness, including a life-endangering physical condition caused by or arising from the pregnancy, which would, as certified by a physician place the woman in danger of death unless an abortion is performed.

(b) Nothing in the preceding section shall be construed as prohibiting the expenditure by a State, locality, entity, or private person of State, local, or private funds (other than a State’s or locality’s contribution or Medicaid matching funds).

(c) Nothing in the preceding section shall be construed as restricting the ability of any managed care provider from offering abortion coverage or the ability of a State or locality to contract separately with such a provider for such cover with State funds (other than a State’s or locality’s contribution of Medicaid matching funds).

Section 510(a). None of the funds made available in this Act may be used for—

(1) the creation of a human embryo or embryos are for research purposes; or

(2) research in which a human embryo or embryos destroyed, discarded, or knowingly subjected to risk or injury or death greater than that allowed for research on fetuses in utero under 45 CFR 46.208(a)(2) and section 498(b) of the Public Health Service Act (42 U.S.C. 289g(b)).

(b) For purposes of this section, the term “human embryo or embryos” includes any organism, not protected as a human subject under 45 CFR 46 as of the date of the enactment of this Act, that is derived by fertilization, parthenogenesis, cloning, or any other means from one or more human gametes or human diploid cells.

Section 511(a). Limitation on Use of Funds for Promotion of Legalization of Controlled Substances. None of the funds made available in this Act may be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of the schedules of controlled substances established by Section 202 of the Controlled Substances Act (21 U.S.C. 812).

(b) Exceptions. The limitation in Subsection (a) shall not apply when there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

Section 512. None of the funds made available in this Act may be obligated or expended to enter into or renew a contract with an entity if—

(1) such an entity is otherwise a contractor with the United States and is subject to the requirement in Section 4212(d) of Title 38, United States Code, regarding submission of an annual report to the Secretary of Labor concerning employment of certain veterans; and

(2) such entity has not submitted a report as required by that section for the most recent year for which such requirement was applicable to such entity.

Section 514. None of the funds made available in this Act may be used to promulgate or adopt any final standard under Section 1173(b) of the Social Security Act (42 U.S.C. 1320d-2(b)) providing for, or providing for the assignment of, a unique health identifier for an individual (except in an individual's capacity as an employer or a health care provider), until legislation is enacted specifically approving the standard.

SPECIAL CONDITIONS

1. This grant, when executed, establishes a legal relationship between the U. S. Department of Labor (the Department) and the grantee. Payments under this grant shall be made through the Advance Payment/Payment Management System unless otherwise indicated in accordance with 29 CFR Part 97.21.
2. The grantee hereby agrees that any allowable WIA costs incurred by the awardee pursuant to this grant prior to the obligation of WIA funds by the Department are incurred at the grantee's own risk. The Department has no responsibility to reimburse such costs in the absence of an obligation.
3. The grantee agrees to comply with the reporting instructions issued by the Indian and Native American Program (INAP).
4. Matching Funds:

_____ Will be required for programs under this grant.

 X Will not be required for programs under this grant.

5. The Grant Officer's Technical Representative is not authorized to change any of the terms or conditions of the grant. Such changes, if any, will be accomplished only by the Grant Officer by the use of a properly executed grant modification.
6. Grantee must receive prior approval from the Department /Employment and Training Administration's Property Officer for the purchase and/or lease of property and/or equipment having a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the organization for financial statement purposes or (b) \$5,000.

Items of equipment with an acquisition cost of less than \$5,000 are considered to be supplies and are allowable as direct costs of Federal awards without specific awarding agency approval. The request must be directed through your Grant Officer's Technical Representative and must include a detailed description and cost of the items to be acquired.

7. In compliance with Executive Orders 12876, 12900, 12928, and 13021, the grantee is strongly encourage to provide sub-granting opportunities to Historically Black Colleges and Universities, Hispanics serving Institutions, and Tribal Colleges and Universities.

SPECIAL CLAUSE NO. 1 - INDIRECT COST

SPECIAL NOTE: This clause is to be utilized **only** for those grantees seeking indirect costs. It is to be utilized for all affected grants and modifications.

In order to avoid major audit problems, disallowed costs and to receive timely reimbursement of indirect costs, grantees should take those necessary steps to comply with this clause as well as the critical timeframes for submission of indirect cost proposals.

You are governed by, and must comply with one of the following cost principle categories:

- (1) **Federal Acquisition Regulation (FAR) Subparts 31 and 42** apply to private-for-profit contractors;
- (2) **OMB Circular A-87** applies to state and local governments and Federally-recognized Indian Tribes. States receiving WIA formula-allocated funds can elect to waive A-87 coverage;
- (3) **OMB Circulars A-21, A-88 and FAR 42.705-3** apply to educational institutions;
- (4) **OMB Circular A-122** applies to nonprofit institutions excluding those addressed in the preceding as well as hospitals.

The total amount of **grant** funds will **not** be increased to reimburse grantee organizations for costs which exceed the total award due to indirect cost rates higher than anticipated. In addition, the application of approved indirect cost rates does not relieve the grantee of any other cost limitations regarding the grant.

INDIRECT COST RATES AND COST ALLOCATION PLANS

Review the following Options and **check** the applicable statement:

OPTION 1: DOL IS THE ONLY FUNDING SOURCE FOR THIS GRANTEE

_____ DOL is the only funding source for this grantee, therefore, no Indirect Cost Rate Agreement or Cost Allocation Plan is needed.

OPTION 2: GRANTEES WITH MULTIPLE FUNDING SOURCES

Grantees should have either an approved Indirect Cost Rate Agreement or an approved Cost Allocation Plan. If a grantee does not have an Indirect Cost Rate Agreement or approved Cost Allocation Plan, a proposal/plan must be sent to the appropriate cognizant Federal agency for approval. If the Department of Labor (DOL) is your cognizant agency, proposals for indirect cost rates and supporting data and documentation should be sent to the DCD Negotiator in the appropriate DOL Regional Office or if applicable, to the DCD National Office whose address and phone number listed below. In addition, if you do not know your cognizant Federal agency, please call the phone number listed below:

Director
Division of Cost Determination
U. S. Department of Labor
OASAM
200 Constitution Avenue, N.W., Room S-1510
Washington, D. C. 20210
Phone Number: (202) 693-4100

___ An approved Indirect Cost Rate is in place.

___ An approved Cost Allocation Plan is in place.

___ An Indirect Cost Proposal has been submitted to its' cognizant agency. A copy of the letter transmitting the proposal is attached.

SPECIAL CLAUSE NO. 2 KEY OFFICIALS

A. Department of Labor Representatives. The grantee organizations primary contact with the Department is the Indian and Native American Program Grant Officer's Technical Representative (GOTR) (Federal Project Officer). Although the GOTR is the primary contact, under no circumstances is the GOTR authorized to sign grant documents or approve any alterations to the grant involving a change in the period, scope, price, or other terms and conditions of the grant or order requiring the Grant Officer's approval. Grantees will be notified by INAP of the assigned GOTR and of changes in the assignment as they occur.

B. Grantee Representatives. Please list below the names and telephone numbers of those individuals (i.e., signatory official(s), WIA Director, organization's comptroller, contract officer, etc). who are authorized and responsible for the operation and the administration of the grant program. A modification to your grant is not necessary to record changes of listed individuals, *except* for signatory officials. However, the INAP GOTR should be advised in writing of changes as they occur.

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

NAME AND TITLE: _____
PHONE NO.: _____ Signatory? Yes ☐ No ☐

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	3. Report Type: a. Initial filing b. material change For Material Change Only: year ____ quarter ____ date of last report ____
4. Name and Address of Reporting Entity: ____ Prime Subawardee Tier ____ if known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime. Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description CFDA Number, if applicable:	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI): (Attach Continuation Sheet(s) SF-LLL-A, if necessary)	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): (Attach Continuation Sheet(s) SF-LLL-A, if necessary)	
11. Amount of Payment (check all that apply): ☐ actual ☐ planned \$ 12. Form of Payment (check all that apply): ☐ a. cash ☐ b. in-kind; specify: _____ value	13. Type of Payment (check all that apply) ☐ a. retainer ☐ b. one-time fee ☐ c. commission ☐ d. contingent fee ☐ e. deferred ☐ f. other, specify: _____	
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: ____ YES ____ NO		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature _____ Print Name: _____ Title: _____ Telephone Number: _____ Date: _____	

Authorized for Local Reproduction Standard Form - LLL-A

DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

Reporting entity:

Page ____.

CERTIFICATION REGARDING LOBBYING ACTIVITIES

Section 18 of the "Lobbying Disclosure Act of 1995," signed by the President on December 19, 1995, requires that any organizations described in Section 501(c)(4) of the Internal Revenue Code of 1986 which engages in lobbying activities shall not be eligible for the receipt of Federal funds constituting an award, grant, loan, or any other form.

As an officer of _____
Company Name

1. This is to certify that our IRS Status is:

_____ An IRS 501 (c) (3) entity
_____ An IRS 501 (c) (4) entity
_____ Other (specify) _____ entity

2. If your organization is a **501(c)(4)** entity, as checked under No. 1 above, select one of the statements below:

___ **We have or plan to** engage in lobbying activities.

___ **We have not or will not** engage in lobbying activities.