



**APPLICATION INSTRUCTIONS FOR  
STATE COMMISSIONS:  
AMERICORPS STATE AND TERRITORY  
COMPETITIVE,  
EDUCATION AWARD PROGRAM,  
and  
FORMULA GRANTS**

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## I. Background and Overview

Each state is responsible for developing an application process that includes the review and selection of AmeriCorps program applications to submit to the Corporation for National and Community Service (the Corporation) for funding. In this document, we provide you with instructions to assist you with the development of your application selection process and the submission of your AmeriCorps State and Territory Competitive, State Education Award Program (EAP), and State Formula application packages through eGrants.

The Corporation will notify you via e-mail when the eGrants system is ready to receive applications. The eGrants application provides prompts and directions that will guide you through the application process.

In addition to the information in this document, you must also review the following important sources of additional information about the AmeriCorps program and the application process:

- The AmeriCorps regulations, 45 C.F.R. §§ 2520 - 2550, contain program-specific information and requirements that you need to understand and incorporate into your application submissions. They can be found at **<http://www.americorps.gov/about/ac/rulemaking.asp>**.
- The *Notice of Federal Funding Opportunity (Notice)* for AmeriCorps State and Territory Competitive and EAP funding contains specific information about how much funding will be available for AmeriCorps grants, eligible applicants, how to apply, and special considerations and priorities for funding that are not included in these application instructions. You will be able to access the *Notice* at the website, **[www.americorps.gov/for\\_organizations/funding/nofa.asp](http://www.americorps.gov/for_organizations/funding/nofa.asp)**. The *Notice* will be removed once the application deadline has passed.
- The Application Instructions for the State and Territory Competitive and State Education Award Programs are posted at **[www.americorps.gov/pdf/05\\_0802\\_ameriCorps\\_nofa\\_instructions.pdf](http://www.americorps.gov/pdf/05_0802_ameriCorps_nofa_instructions.pdf)**.

### A. eGrants

You will submit your AmeriCorps State and Territory Competitive, State EAP, and State Formula application packages using eGrants according to the instructions provided in the *Notice*.

### B. Application Deadlines

#### 1. State and Territory Competitive and Education Award Program Deadlines

The due dates for State and Territory Competitive and EAP applications can be found in the *Notice*.

## 2. State Formula Deadline

We will announce the annual formula funds allocation and available Member Service Years (MSYs) for each state after we receive our appropriation. You may request funds anytime after we have announced the formula allocations. Once you have selected all of your formula grantees, you must report these selections by submitting an application including a funding chart to the Corporation through eGrants. You must submit your funding chart between January 15 and August 1 of each year, subject to change based on the Corporation's appropriations. You must submit your application at least 30 days before the earliest start date of your programs. Under the Strengthen AmeriCorps Act (P.L. 108-45 (July 3, 2003), codified at 42 U.S.C. 12605), you may not enroll members before the Corporation issues your grant award.

## C. Requirements for Submission

You must submit the following information with your State and Territory Competitive and EAP application packages:

- Applicant information from the commission (Prime Application);
- Assurances and Certifications signed by the appropriate official;
- The AmeriCorps State and Territory Competitive or EAP program applications you are recommending for funding;
- Your application rankings as outlined in the AmeriCorps regulations 45 CFR § 2522.465;
- The rationale behind the rankings (optional);
- A funding chart (this is created automatically in eGrants); and
- Recommendation summaries (see Section III. E. (3) below for instructions).

In addition, you are responsible for ensuring that each recommended application complies with all the submission requirements set forth in the *Notice* and the Application Instructions. **Do not submit any other supplementary materials such as videos, brochures, letters of support, or any other item not requested in these application instructions. We will not review or return them.**

## D. Available Resources

In general, the amount of resources available each year for State and Territory Competitive, EAP, and Formula grants depends on a number of factors, including: the amount of the Corporation's annual appropriation, the funding requested to support continuation programs, and the unexpended funds from the prior year.

Please refer to the *Notice* in the year in which you are applying for the following information:

- The total amount of funding available (contingent on appropriations), and
- Guidance on the amount of increase or expansion, if any, you may request for continuation programs. This may also be handled in a separate communication from the Corporation to the Commissions.

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For formula funding, the amount of your grant award will be the total amount you request for the programs on your funding chart, up to your annual allocation. If you did not request your entire prior year's formula allocation, the remainder, your "reserve," is available to you for the current year. Only unrequested formula funds from the prior fiscal year will be available to you. Any unrequested funds from earlier years will have lapsed. Contact your Corporation grants officer to confirm the amount of prior year formula funds you have available.

## **II. New, Recompeting, and Continuation Submissions**

### **A. New Applicants and Recompeting Programs**

Any program that is applying for AmeriCorps funds for the first time, or is recompeting at the end of a three-year grant cycle, must complete the application described in the Application Instructions. Any program in its third year of a three-year grant cycle must submit a new application to be considered for further funding.

For an AmeriCorps program that is recompeting, in addition to the new application, the Corporation will review and consider previous grant compliance and performance information from our management information systems. This includes enrollment and retention rates, accomplishments, and match history. Plan your review process accordingly, and make sure that all recompeting programs you recommend for funding are high quality programs that have successfully met their performance measures. Recompeting programs must have successfully secured the matching resources required in their earlier grant awards.

### **B. Continuation Programs**

Programs entering year two or year three of a grant period are eligible to submit continuation requests. Please see the *Notice* and the Instructions for Continuation Requests in the Application Instructions. This may also be handled in a separate communication from the Corporation to the Commissions.

### **C. Planning Grants**

You may consider and fund planning grants in your formula portfolio. If you choose to fund planning grants in your formula portfolio, please include the title "Planning Grant" in the Project Name in the Applicant Section of the their program application. More information on Planning Grants is included in the AmeriCorps Application Instructions.

You have the authority to establish planning grant guidance within the parameters described in the Application Instructions. You must ensure that recipients of planning grants demonstrate significant development or improvement before being considered for funding to support the resulting operating program. You must also ensure that the budget is reasonable to support the planned activities and that the level of effort for development and improvement justifies the funds requested.

#### **D. Statewide Initiatives**

You may submit proposals for statewide initiatives (programs that operate throughout the state that may or may not have a single issue focus) through the AmeriCorps State and Territory Competitive program, or you may fund them in your formula portfolio. Regardless, you must select an eligible entity to operate the program. A state commission may not directly operate a statewide initiative or any other program funded with AmeriCorps competitive or formula funds, as articulated in the AmeriCorps regulations 45 CFR § 2550.80. Be sure that each proposal clearly indicates if it is a statewide initiative. When you fill out the Standard Form 424A in eGrants (Appendix A in the Program Application Instructions), enter “Statewide Initiative” in item 11.b.

#### **E. Additional Information and Paper Applications**

In addition to the applications you submit in eGrants, you may need to submit program evaluations and/or audit information on behalf of your programs, depending on amount of funds and history with the Corporation. Programs are required to provide this information to their Commissions as stipulated in the AmeriCorps regulation 45 C.F.R. § 2522.470 for audits and § 2522.730 for evaluations. Because this information cannot be submitted in eGrants, you may send print information to:

*Corporation for National and Community Service  
AmeriCorps State and National Grant Programs  
1201 New York Avenue, N.W.  
Box AmeriCorps State Document Submission  
Washington, DC 20525*

Please use a courier service as USPS service to government agencies often are delayed and sometimes damaged due to security measures. Attach a hard copy of the program’s SF424 facesheet to each document so that we know which application corresponds to each document. If you prefer, you may submit evaluations electronically to **acapplications@cns.gov**.

This information must be received at the Corporation by 5 p.m. Eastern Standard Time on the application due date announced in the *Notice*. After you have submitted the documents, change their status in eGrants from the default “Not Sent” to the applicable status (“Sent,” “Not Applicable,” or “Already on File at CNCS”). In the event of difficulties submitting an application in eGrants, please see the *Notice* for instructions and contact your Corporation program officer.

### **III. State Selection Process**

#### **A. State Commission Application and Selection Process**

The information in Section III is provided to assist you in developing your application materials and selection processes for competitive, formula, and EAP funding for new, recompeting and continuing programs. You must also follow state law requirements regarding requests for proposals and the selection of programs by a state commission. You are advised to provide information on the following topics to program applicants:

- Funding availability;

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- Competitive, formula, and EAP funding guidance and applications;
- State maximum cost per MSY and budget guidelines;
- State application deadlines and submission requirements;
- State priorities;
- Corporation focus areas;
- Selection criteria;
- Continuation instructions;
- Instructions to third year continuations on how to apply for the match waiver, if applicable; and
- Other information that you or your state may require.

### **B. State Responsibilities for Review and Recommendation**

You are responsible for:

- Reviewing and selecting new/recompeting competitive and EAP applications and continuation requests to submit to the Corporation for funding;
- Preparing ranking and recommendations for new/recompeting competitive programs to fund;
- Conducting peer review panels and selecting programs for formula funding;
- Thoroughly reviewing the recommended applications to ensure they are complete, accurate, and in compliance with all program and budget requirements before submitting them to the Corporation in eGrants;
- Reviewing Financial Status Reports to monitor and report on your programs' progress toward the matching requirements as articulated in the AmeriCorps rule §§ 45 CFR S 2522.35-2522.91 and posted at [www.americorps.gov/about/ac/rulemaking.asp](http://www.americorps.gov/about/ac/rulemaking.asp); and
- Reading, understanding, and signing off on all assurances, certifications, and restrictions, including the certification of programs' progress toward the matching requirements.

Be sure to set a due date for applications that allows you adequate time before the Corporation's due date to review program applications, analyze budgets, and work with programs on revisions to budgets, proposed activities, and performance measures, as necessary.

### **C. Peer Review Requirements**

#### **1. State Formula Applications**

- a) You are required to conduct peer review panels to assess your new and recompeting formula applications.
- b) You must certify in eGrants that your selection process complied with the National Community and Service Act of 1990 (NCSA), AmeriCorps regulations, and all state laws and conflict of interest rules.

#### **2. State Competitive and EAP Applications**

You may choose not to conduct peer review panels to assess your competitive applications because the Corporation must peer review them at the national level in

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order to comply with the NCSA. However, you may be required under state law to peer review state competitive proposals.

### 3. Rigorous Review

While we do not require you to peer review state competitive or EAP applications, we expect you to conduct a rigorous review and to send forward only those applications that you consider to be high quality and that meet all requirements outlined in the Application Instructions. The applications you submit for competitive and EAP funding will be a subset of the total applications you receive. Do not submit every application you receive. Commissioners must vote to approve the applications you are submitting, and you are required to maintain a record of that vote.

## D. Selection Criteria

### 1. Regulatory Requirements

The AmeriCorps regulations, 45 C.F.R. § 2522.460 and § 2522.475, describe the extent to which you must use the Corporation's selection criteria and priorities when selecting formula programs or operating sites. The AmeriCorps regulations, 45 C.F.R. § 2522.460 describes to what extent you may consider priorities other than those stated in the regulations or the *Notice*.

### 2. Publication of State Selection Criteria

Incorporate the criteria you will use to evaluate and select applications, including the criteria required above, in your application materials.

## E. State Commission Rankings and Recommendation Summaries

### 1. Regulatory Requirements

The AmeriCorps regulations, 45 C.F.R. § 2522.465, describe the information you must submit on the relative strengths of applicants for state competitive funding.

### 2. Submitting Your Rankings in eGrants

Provide your rankings in the designated section of the Competitive Prime Application in eGrants. Summarize the process and criteria you used to arrive at your rankings in your Executive Summary.

### 3. Recommendation Summaries

For each competitive application that you are submitting to the Corporation, provide the information listed below. In eGrants, enter the information in the text box in the Subapplicant section of your Prime Application. There is a 4,000 character limit for each recommendation summary for State and Territory Competitive and EAP applications.

Please also keep in mind that your summaries will be used to make announcements to Congress and others if the program is approved for funding. Check these summaries carefully for spelling, grammar, and accuracy.



**a) New or Recompeting Programs**

- Provide a summary of the program's service activities.
- Describe the program's strengths and how it will complement your existing portfolio.
- Discuss its potential challenges and your strategy for training and technical assistance.
- Provide a rationale for the ranking you gave the program (optional).
- For recompeting programs, review the most recent FSR, list the overall percentage of match and provide your assessment of the program's ability to meet their match.
- For recompeting programs, you are advised to consider each program's record for submitting forms and reports in a timely manner as a factor when reviewing programs for inclusion in your competitive or formula application package.
- For recompeting programs, provide either an assessment of the program's evaluation efforts to date or a completed evaluation, as applicable.
- If applicable, provide your rationale for approving a waiver to the requirement that programs recruit or support volunteers.

**b) Continuation Programs**

- Provide a summary of the program's service activities.
- Provide a clear analysis of the program's strengths and accomplishments that supports the commission's decision to request continued funding, including a description of the program's performance measures for the coming year. Explain how you arrived at your assessment.
- Describe and analyze the program's enrollment and retention rates and compliance with the Corporation percentage rate regarding enrollment and retention which is published in the *Notice*. We recognize that many programs that are not meeting the published rate are nevertheless performing well in their individual circumstances; and we understand in particular, that retention may vary among effective programs depending on the target populations for those programs. However, in order to leverage our limited program dollars, we expect our programs to strive toward improving their rates of enrollment and retention. If necessary, discuss any remedial steps you plan to take.
- You are advised to consider each program's record for submitting forms and reports in a timely manner as a factor when reviewing programs for inclusion in your competitive or formula application package.
- Review each program's most recent FSR, ensuring that they are meeting match requirements which you will be certifying.
- If applicable, provide your rationale for approving a waiver to the requirement that programs recruit or support volunteers, or the alternative match waiver.

## IV. Corporation Selection Processes

### A. Selection Process for New and ReCompeting Applicants

The Corporation selects Competitive and EAP applications for funding using a multi-stage process that may include peer review, Corporation staff review, and approval by the Chief Executive Officer or the Board of Directors, or their designee. The peer review panels are made up of individuals such as community service practitioners, educators, administrators, former national service participants, and specialists in the areas of environment, public safety, education, homeland security, and other human needs.

**Do not assume the members of these panels are familiar with your recommended program. Ensure that the applications you submit contain sufficient information for a reviewer who is unfamiliar with your programs to make an adequate assessment and assign a relevant score.**

In evaluating the competitive applications you submit, panelists, staff, the CEO and/or the Board will assess the program design, organizational capability, and the program’s cost-effectiveness and budget adequacy. The weights assigned to each category and, if applicable, sub-category, are listed in the chart below. Please see the AmeriCorps regulations, 45 C.F.R. §§ 2522.420 – 2522.448, for additional information about what we assess within each category.

**Selection Criteria: Categories, Sub-Categories and Respective Weights**

Category	Percentage	Sub-Categories and Weights
Program Design	50%	Rationale and Approach – 10%
		Member Outputs and Outcomes – 20%
		Community Outputs and Outcomes – 20%
Organizational Capability	25%	No Sub-categories
Cost-Effectiveness and Budget Adequacy	25%	Cost-Effectiveness – 15%
		Budget Adequacy – 10%

The AmeriCorps grant selection process includes the following steps:

1. Determining whether a proposal complies with the application requirements, including meeting deadlines and eligibility requirements;
2. Applying the selection criteria to assess the quality of proposals as articulated in the AmeriCorps rule 45 C.F.R. §§ 2522.420 – 2522.448;
3. Applying any applicable priorities or focus areas as articulated in the AmeriCorps rule (additional priorities or focus areas may be announced in the applicable *Notice*; and

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4. Ensuring innovation and geographic, demographic, and programmatic diversity across the national AmeriCorps portfolio as articulated in our regulation § 2520.470.

We may conduct clarifying interviews in person or through conference calls, as needed, on a case-by-case basis. The Corporation will not issue your grant award unless all reporting from previous grant years and any expired grants is up-to-date.

### **B. Selection Process for Continuation Requests**

We will consider continuation requests for Year 2 and Year 3 grantees subject to:

- availability of appropriations,
- the program's progress to date,
- success in meeting performance measures,
- proposed changes to the program,
- your recommendation summaries,
- enrollment and retention rates,
- compliance with member enrollment policies,
- progress in meeting match requirements and greater reliance on non-federal support, and
- any relevant information from our management information systems.

The Corporation does not use peer review panels to assess continuation requests. We will announce in the *Notice* whether we will consider requests for additional MSYs in your continuation request, as well as any increases that result from required Corporation increases such as the living allowance. This may also be handled in a separate communication from the Corporation to the Commissions.

### **C. Timeline for Decisions**

The dates for announcement of initial funding decisions will be published in the *Notice*. Please note that this date is not the date on which we issue grant awards. Grant awards are issued after final approval, and official notification of the grant award is contingent upon successful completion of grant negotiations and resolution of any budget and compliance issues. Programs may not enroll members before the Corporation issues the commission grant award. Commissions must ensure that subgrantees understand and comply with this requirement.

### **D. Restriction**

We may reject an application that requests funding for a project already included in another application pending before the Corporation. For example, if a national non-profit organization includes a local affiliate in its AmeriCorps National application, the local affiliate may not seek additional funds for the same project through your state application process.

## V. Grant Requirements

### A. State Average Cost Per MSY and Maximum Program Cost Per MSY

We will publish the state average cost per MSY and the maximum program cost per MSY in the annual *Notice*.

### B. Matching Requirements

You are responsible for meeting an aggregate overall match requirement based on your subgrantees' individual match requirements. See 45 C.F.R. §§ 2521.50 – 2521.90 for the matching requirements that apply to you and your programs.

### C. Assurances on Program Selection and State-run Programs

You are responsible for ensuring that you follow program selection requirements and the limitation on state-run programs now included in the assurances you must sign at the end of these instructions.

### D. Subgrant Administrative Cost Allocation

Since we provide direct administrative funding and program development assistance and training funds to support your operations, we strongly encourage you to provide the full 5% allowed for administrative funds to your operating programs. However, commissions may retain up to 1% for this purpose.

Any administrative funds you retain must be used solely in support of the AmeriCorps programs from which you have retained them. Your accounting system must track and allocate these administrative funds separately. Please see Appendix E of the Application Instructions for guidance in calculating your administrative costs.

### E. Commission Grant and Subgrant Project Periods

The Corporation generally awards AmeriCorps grants to state commissions for three-year project periods. For example, competitive grants made in 2007 will have end dates in 2010. The start date of the commission's project period is determined by the earliest of the approved programs' start dates.

Commissions may add new subgrant programs in the second or third year of a Commission's three-year grant. The Corporation assigns subgrant numbers to those subgrant programs; the subgrant numbers are associated with the Commission's grant number active at that time. When those same subgrant programs are later included in the Commission's next application for the Commission's new three-year grant, those subgrants, added in year two or three, are considered continuations under the new Commission grant. While the Commission will receive a new grant number, the subgrant continuations retain their existing subgrant number for use under the Commission's new grant.

Subgrant programs added to a Commission's portfolio during the second or third years of a Commission's grant, even though they are continued under the Commission's subsequent three-year grant, must be administratively closed out when the

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Commission's first three-year grant expires. This means that those specific subgrants must submit financial reports that "close the books" as of the expiration date of the Commission's grant, enabling the Commission to accurately report the sum of expenditures for all subgrants as of the date the Commission's grant expired.

In some cases, the three-year project period for the Commission's grant does not coincide with the end dates of its various subgrants. If a Commission encounters this situation, the Commission should contact the Corporation's Grants Officer to request a no-cost extension of the Commission's grant. A Commission grant project period end date extended in this manner needs to envelop the service period of the latest starting member in the latest starting subgrant program under that Commission grant. To avoid excessively long no-cost extensions, Commissions may not allow subgrant programs to enroll new members during the last three months of the final year of the three-year project period.

**You must request a no-cost extension from the Corporation before the expiration date of the project period defined in your Notice of Grant Award.** The no-cost extension may not extend more than 12 months beyond the original end date.

### F. Approval of Pre-Award Costs

You, and your programs, may be reimbursed for pre-award costs only if they are incurred with the written approval of the Corporation's Office of Grants Management. You incur all pre-award costs at your own risk. The Corporation is under no obligation to reimburse you or your subgrantee for these costs if you or your subgrantee does not receive advance approval, or if the approved amount is less than anticipated and inadequate to cover your costs.

To request such approval, send a request to your Corporation grants officer, with a copy to your program officer that includes a brief justification for the costs to be incurred and indicates the desired effective date. If your request is approved, the Office of Grants Management will issue a letter authorizing the pre-award costs within three business days.

The Corporation will consider approving, where appropriate, the following types of pre-award costs:

- personnel expense and benefits,
- travel for staff and prospective members,
- equipment,
- supplies,
- contractual and consultant services,
- training for staff and prospective members,
- evaluation, and
- other program operating costs.

Because the Strengthen AmeriCorps Program Act (P.L. 108-45 (July 3, 2003), codified at 42 U.S.C. 12605) specifically provides that a national service position is approved

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when the Corporation issues a grant award, we cannot approve member living allowances or support costs, including FICA, workers' compensation, health care, and child care, as pre-award costs.

Approval of pre-award costs does not authorize you or your subgrantee to enroll AmeriCorps members or have them begin serving. AmeriCorps members may only begin service after a grant award has been issued and may not count any hours served prior to the award being issued as part of their term of service.

### **G. Enrollment Monitoring**

As you plan for and undertake your grant review processes, you must consider subgrantees' compliance with AmeriCorps enrollment procedures and timeframes as a factor in the decision-making process. You can use the Corporation's online electronic systems to monitor your programs' performance enrolling and exiting members within the required 30-day timeframe.

### **H. Compliance with Federal Legal Requirements**

Programs must comply with all applicable federal laws, regulations, and OMB circulars for grant management, allowable costs, and audits. Be prepared to provide copies of the circulars to any applicants who need them. The OMB circulars are online at [www.whitehouse.gov/OMB/circulars](http://www.whitehouse.gov/OMB/circulars).

## **VI. Preparing and Submitting Your Application Package**

In order to submit your application packages to the Corporation in eGrants, you must set up a separate Prime Application for competitive, EAP and formula applications. Once you receive, review, select and recommend applications, you will then complete the Prime Application and submit it to the Corporation. By completing each of these steps, you will automatically meet compliance requirements. The Corporation will notify you via e-mail when the eGrants system is ready to receive applications. The eGrants application provides prompts and directions that will guide you through the application process.

## VII. Assurances and Certifications

### Instructions

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

#### **Inability to certify**

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

#### **Erroneous certification or assurance**

The assurances and certifications are material representations of fact upon which we rely in determining whether to enter into this transaction. If we later determine that you knowingly submitted an erroneous certification or assurance, in addition to other remedies available to the federal government, we may terminate this transaction for cause or default.

#### **Notice of error in certification or assurance**

You must provide immediate written notice to us if at any time you learn that a certification or assurance was erroneous when submitted or has become erroneous because of changed circumstances.

#### **Definitions**

The terms “covered transaction”, “debarred”, “suspended”, “ineligible”, “lower tier covered transaction”, “participant”, “person”, “primary covered transaction”, “principal”, “proposal”, and “voluntarily excluded” as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. An applicant shall be considered a “prospective primary participant in a covered transaction” as defined in the rules implementing Executive Order 12549. You may contact us for assistance in obtaining a copy of those regulations.

#### **Assurance requirement for subgrant agreements**

You agree by submitting this proposal that if we approve your application you shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by us.

#### **Assurance inclusion in subgrant agreements**

You agree by submitting this proposal that you will obtain an assurance from prospective participants in all lower tier covered transactions and in all solicitations for lower tier covered transactions that the participants are not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction.

#### **Assurance of subgrant principals**

You may rely upon an assurance of a prospective participant in a lower-tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless you know that the assurance is erroneous. You may decide the method and frequency by which you determine the eligibility of your principals. You may, but are not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

#### **Non-assurance in subgrant agreements**

If you knowingly enter into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, we may terminate this transaction for cause or default.

#### **Prudent person standard**

Nothing contained in the aforementioned may be construed to require establishment of a system of records in order to render in good faith the assurances and certifications required. Your knowledge and information is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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### ASSURANCES

As the duly authorized representative of the applicant, I certify, (to the best of my knowledge) and belief, that the applicant:

1. Has the legal authority to apply for federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of program costs) to ensure proper planning, management, and completion of the program described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with all rules regarding prohibited activities, including those stated in applicable NOFA or NOFO, grant provisions, and program regulations, and will ensure that no assistance made available by the Corporation will be used to support any such prohibited activities.
6. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
7. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps (d) The Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the National and Community Service Act of 1990 or the Domestic Volunteer Services Act, as amended; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
8. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally assisted programs. These requirements apply to all interests in real property acquired for program purposes regardless of federal participation in purchases.
9. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
10. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C 276a and 276a-7), the Copeland Act (40 U.S.C 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction sub-agreements.
11. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires the recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
12. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e)



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assurance of program consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C 1451 et seq.); (f) conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

13. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
14. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification, and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16U.S.C. 469a-1 et seq.).
15. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
16. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
17. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, as amended, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.
19. Will comply with all the requirements of Subpart C of 45 CFR Part 2542, implementing E.O. 1259, regarding restrictions on doing business with suspended, debarred, and otherwise disqualified entities.
20. Will comply with all the requirements for providing a drug-free workplace on a continuing bases as set out in Subpart B of 45 CFR Part 2545, implementing sections 5151-5160 of the Drug-Free Workplace Act of 1988 (P.L. 100-690).
21. Will provide in the design, recruitment, and operation of any AmeriCorps program, for broad-based input from—(1) the community served and potential participants in the program; and (2) community-based agencies with a demonstrated record of experience in providing services and local labor unions representing employees of service sponsors, if these entities exist in the area to be served by the program.
22. Will, prior to the placement of participants, consult with the appropriate local labor organization, if any, representing employees in the area who are engaged in the same or similar work as that proposed to be carried out by an AmeriCorps program, to ensure compliance with the nondisplacement requirements specified in section 177 of the NCSA;
23. Will, in the case of an AmeriCorps program that is not funded through a state, consult with and coordinate activities with the state commission for the state in which the program operates.
24. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, application guidelines, and policies governing this program.

## CERTIFICATIONS

### 1. Lobbying (Activities)

As required by Section 1352, Title 31 of the U.S. Code, as the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, renewal, amendment or modification of any federal grant, or cooperative agreement;
- (b) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

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(c) The undersigned shall require that the language of this certification be included in the award documents for all tiers (including subawards, subgrants, contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

### FOR STATE COMMISSIONS ONLY: ADDITIONAL ASSURANCES

As the duly authorized representative of the applicant, I certify, (to the best of my knowledge) and belief, the following.

#### 1. Limitations on State-Run Programs

The Applicant will use at least 60% of the funds provided by the Corporation to support programs that are not carried out by the state or by a state agency. However, the Corporation may waive this requirement if the Applicant can demonstrate that the Applicant did not receive an adequate number of acceptable applications from applicants other than the state or state agencies during the competitive selection process.

#### 2. Emphasis on Areas of Greatest Needs

The Applicant will use at least 50% of the funds the Corporation provides for programs that operate in legislated areas of greatest need. These include:

- areas of high concentrations of low-income people;
- areas that are environmentally distressed;
- areas adversely affected by Federal actions related to the management of Federal lands that result in significant regional job losses and economic dislocation;
- areas adversely affected by reductions in defense spending or the closure or realignment of military installations; and
- areas that have an unemployment rate greater than the national average for the most recent 12 months for which satisfactory data are available.

The Corporation may waive this requirement if at least 50 percent of the total amount of assistance to all states will be used for such programs. Please include information regarding high need characteristics in the Executive Summary.

As the duly authorized representative of the applicant, I certify, (to the best of my knowledge) and belief, the following.

**Match.** The undersigned does hereby certify that I will monitor and enforce match requirements articulated in AmeriCorps regulation 45 C.F.R. §§ 2521.5 – 2521.90 for all programs granted AmeriCorps funds in my state.

## ASSURANCES AND CERTIFICATIONS

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

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**SIGNATURE:**

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

**Organization Name:**

\_\_\_\_\_

**Program Name:**

\_\_\_\_\_

**Name and Title of Authorized Representative:**

\_\_\_\_\_

**Signature:**

\_\_\_\_\_

**Date:**

\_\_\_\_\_

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

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

**SIGNATURE:**

By signing this Certification page, you certify that you agree to perform all actions and support all intentions in the Certification sections of this application.

The three Certifications are:

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

**Legal Applicant:**

\_\_\_\_\_

**Program Name:**

\_\_\_\_\_

**Name and Title of Authorized Representative:**

\_\_\_\_\_

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

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