

FY 2007 WIC SPECIAL PROJECT GRANTS

REQUEST FOR APPLICATIONS FOR

FULL GRANTS

(APPLICATION A)

Applications Must Be Received by Monday, April 2, 2007

Submit Applications to:

**Veronica G. Ferrell, Grants Officer
Food and Nutrition Service, USDA
Grants Management Division
WIC Special Project Grants
3101 Park Center Drive, Room 738
Alexandria, VA 22302**

Intent to Submit Forms Should be Received by Monday, February 5, 2007

**SPECIAL SUPPLEMENTAL NUTRITION PROGRAM
FOR WOMEN, INFANTS, AND CHILDREN (WIC)**

**FY 2007 SPECIAL PROJECT GRANTS
REQUEST FOR APPLICATION (RFA)
FULL GRANTS**

INTRODUCTION

The USDA Food and Nutrition Service (FNS) expects to have approximately \$1.5 million in fiscal year (FY) 2007 funds available for Special Project Grants to WIC State agencies. Grant funds will be available only to the 90 WIC State agencies responsible for administering WIC in the States, Territories, and Indian Tribal Organizations (ITOs).

There are two types of WIC Special Project Grants: Full Grants and Concept Paper Development Grants. This RFA (Application A) is for Full Grants only. A separate RFA (Application B) is available for States planning to submit a proposal for developing a concept paper as a basis for applying for a Full Grant using FY 2008 funds, pending availability of funds.

FNS anticipates making Full Grant awards ranging from \$100,000 to \$500,000 each, depending on the quality and number of applications.

FNS reserves the right to reduce, increase, or revise proposal budgets in accordance with the availability of funds. FNS also reserves the right to cancel this RFA in whole or in part if funds are not available.

There are three focus areas for the FY 2007 WIC Special Project Full Grants (within the two overarching themes of “**Revitalizing Quality Nutrition Services in WIC (RQNS)**” and “**Improving Vendor Management Practices**”). State WIC Agencies may submit a grant proposal for any one of the following three designated focus areas:

- 1. Revitalizing Quality Nutrition Services in WIC through a Focus on Implementation of Value Enhanced Nutrition Assessment (VENA),**
- 2. Revitalizing Quality Nutrition Services in WIC through a Focus on Childhood Overweight Prevention – Fit WIC 2, and**
- 3. Implementation of WIC Vendor Cost Containment.**

Details on the focus areas are contained in Attachments 1-3. **A grant proposal must address one--and only one--of the three designated focus areas.** State agencies may not submit more than one proposal for a Full Grant.

Grants may be awarded to individual State agencies or to a consortium of WIC State agencies. FNS encourages smaller State agencies or ITOs to consider collaborating with other WIC State agencies or ITOs on grant applications. Individual State agencies may submit only one application for a Full Grant per year. If a State agency submits an application as part of a consortium of agencies, it may not also submit a separate individual application. State agencies that were awarded FY 2006 Concept Paper Development funds last year **must** submit applications for the FY 2007 WIC Special Project Full Grants. State agencies that did not apply for, or applied for but did not receive, FY 2006 Concept Paper development funds last year **are allowed** to apply for FY 2007 WIC Special Project Full Grant funding.

State agencies may use the grant funds for the duration of the project period, not to exceed three years. The special project grant activities must be completed no later than September 30, 2010. All grants under this solicitation will be awarded as **cooperative agreements**. FNS will require State agencies to submit a quarterly SF-269(a) as well as a final SF-269(a) to report each project's financial status. In addition, quarterly performance/progress reports as well as a final report will be required.

Direct questions regarding this RFA to Veronica G. Ferrell, Grants Officer, Food and Nutrition Service, USDA, at (703) 305-2760.

INTENT TO SUBMIT AN APPLICATION

Any State planning to submit an application for a WIC Special Project Grant should **complete and submit the "Intent to Submit an Application" form (Attachment 4) by February 5, 2007**. This Intent does not obligate the State in any way, but will provide useful information to FNS in preparing for application review. State agencies that do not submit a letter of intent by February 5, 2007 **are still allowed** to submit a grant application by the due date of April 2, 2007.

APPLICATION PROCEDURES

**ALL APPLICATIONS MUST BE RECEIVED BY FNS
NO LATER THAN 5:00 PM EASTERN TIME ON
MONDAY, APRIL 2, 2007.**

FAXED AND E-MAILED APPLICATIONS WILL NOT BE ACCEPTED

The complete application package must be received by FNS no later than 5:00 PM Eastern Time Monday, April 2, 2007. State agencies should submit an original and two copies of each application document. One copy must be ready for copying, that is single-sided, unstapled, unbound, on 8 ½" X 11" paper, and single spaced. The number of pages for the entire Application should be no more than 20 pages, excluding appendices, with narrative in a font size no smaller than 12 point. State agencies must mail or deliver applications to:

Veronica G. Ferrell, Grants Officer
USDA Food and Nutrition Service
Grants Management Division
3101 Park Center Drive, Room 738
Alexandria, VA 22302.

State agencies must submit an application package which includes a grant application, a Standard Form 424, APPLICATION FOR FEDERAL ASSISTANCE, Standard Form 424A, BUDGET SUMMARY, Standard Form 424B, ASSURANCES, and the additional certifications as included in the attachments to this solicitation document. The regulations governing the attached certification (i.e., Certification Regarding Lobbying) require that a grantee submit the required certification with each new submission of a grant at the time of application.

An **application checklist** is included as Attachment 5 to assist applicants in verifying that they have completed all components of the grant application.

Electronic Application Submission Through Grants.Gov. Applicants may apply for this opportunity directly through website www.grants.gov. If you opt to submit the application via this website, there are a number of steps in the registration process that will be required before the application may be submitted electronically. Please be aware that in order to use the grants.gov system, the user will need to register online and obtain both a Data Universal Number (DUNS) and a Contract Registry Number. Thus, it is very important that users of the grants.gov system familiarize themselves with the requirements for system use. When using the grants.gov portal to apply, we strongly recommend that you **submit the online application at least two weeks prior to the application due date** in case there are problems with the government-wide website and you decide to instead submit your application via a mail delivery service. Any applicant who opts to submit their application/proposal via www.grants.gov must send an e-mail to veronica.ferrell@fns.usda.gov, advising that their proposal has been submitted through the grants.gov portal and that the applicant has received a confirmation notice from www.grants.gov that their application was accepted by the system. This e-mail submission to the FNS Grants Officer must be received no later than 5:00 PM. Eastern Standard Time on **Monday, April 2, 2007**.

Regardless of the delivery method you choose, please do so sufficiently in advance of the due date to ensure your application package is received on or before the deadline. It is your responsibility to meet the **Monday, April 2, 2007, 5:00 PM, Eastern Time** deadline. As noted above late applications will not be considered in the competition. Also, emailed and faxed applications will not be accepted. Furthermore, we will not consider additions or revisions to applications once they are received by FNS.

Additionally, there is a requirement for applicants of Federal Government awards to have a Data Universal Numbering System (DUNS) number. If your agency has not yet obtained a number, you will need to contact Dun & Bradstreet at 1-800-234-3867 to register for a number. There is no charge to obtain a DUNS number. The DUNS number will serve as a means of tracking and identifying applications for Federal assistance and is required to be included on all applications for Federal assistance, regardless of the method they are submitted. The DUNS number is also required to complete the additional steps to become a registered Grants.gov user. To apply online through <http://www.grants.gov/> there are a number of other steps in the registration process that will be required of you before you may submit applications electronically including registering in the Federal Government's Central Contractor Registry (CCR). We urge you to visit the grants.gov web page (<http://www.grants.gov/>) and click on the "Getting Started" tab *well in advance of the submission deadline* to get a thorough understanding of the steps you will need to follow to use this means of applying for Federal grant opportunities.

If there are any questions regarding the WIC Special Projects Request for Applications, please contact Veronica G. Ferrell of the Grants Management Division at 703-305-2760.

TERMS AND CONDITIONS OF AWARD

The Agency is conducting the Women, Infant, and Children (WIC) Special Project Grant as authorized under Public Law 108-447.

The period of performance of the cooperative agreement shall be from the date of the award through September 30, 2010. All expenditures paid with funds provided by the agreement must be incurred for authorized activities which take place during this period, unless stipulated otherwise. **In an effort to maintain the integrity of these funds, FNS will continually monitor the expenditures and will work with the Grantees to recover any funds that cannot be obligated by the end of the grant period.** Funds not obligated within the cooperative agreement period must be returned to FNS by December 31, 2010.

In carrying out the purposes of the cooperative agreement, the grantee shall be responsible for:

1. Managing the cooperative agreement consistent with legislation, administrative rules, regulations, and procedures of the State, including coordination and approval of all accounting procedures and with applicable Federal administrative requirements contained in OMB Circulars A-21, A-87, A-122, and A-133 and the regulations

implementing them. Also, adherence is required to the 7 CFR Parts 3015, 3016, 3017, 3018, 3019, 3021, 3052 and 41 CFR 1-15.2 (FAR Part 31). A full listing of the applicable documents can be found in Attachment 4, Terms and Conditions of Award.

2. Sending two representatives to a meeting at FNS headquarters each year during the project. During the final year of the project, the grantee shall send two representatives to two meetings at FNS headquarters. The second meeting in the final year will be for the purpose of making a presentation of the results from all State projects to FNS.
3. Assuming the cost for one conference call with FNS and the other Special Project Grant recipients per year during the course of the project.
4. Suspension/Debarment. The grantee agrees to ensure that all sub-grantees are neither excluded nor disqualified under the suspension and debarment rules found at 7 CFR sec. 3017.300 by doing any **one** of the following:
 - a) Checking the Excluded Parties List System (EPLS) found at www.epls.gov
 - b) Collecting a certification that the entity is neither excluded nor disqualified. Since a Federal certification form is no longer available, the grantee or sub-grantee electing this method must devise it own.
 - c) Including a clause to this effect in the sub-grant agreement and in any procurement contract expected to equal or exceed \$25,000, awarded by the grantee or a sub-grantee under it grant or sub-grant.
5. Drug-Free Workplace (DFW) Rules. The grantee agrees to (A) make a good faith effort, on a continuing basis, to maintain a DFW (including taking specific actions described at 7CFR Sec. 3021.200 through 3021.230); and (B) identify all workplace locations where work under Federal award will be performed (7CFR sec. 3021.200). Since Federal entities will no longer collect a paper certification, this may include the following:
 - a) Notifying all sub-grantees and contractors of the Drug Free Workplace rules,
 - b) Making conforming changes to your internal procedures, directives, training materials, etc.
 - c) Incorporating the new rules into your sub-grantee monitoring practices.
6. The grantee shall submit a signed original and two copies of the Quarterly progress report to the FNS Program Officer (see address below). The first report should reflect progress up to December 31, 2007 and should include details on:
 - Major problems or delays encountered and how they will be resolved,
 - Additional detail on work planned for the upcoming quarter, and
 - A description of progress to date,

- Any other pertinent information.

Any problems, delays or adverse conditions that impair the ability to meet the objectives should be reported to FNS immediately. The notification should include information on any action taken or contemplated.

7. Final Progress Report. The grantee shall submit a signed original and two copies of the final progress report to the FNS Program Officer (see address below) by **December 31, 2010**. This report shall contain a project summary including, but not limited to, description of implementation and impact, lessons learned, future implications within the State, and information on how the project will be sustained. In instances where there is a lead state involved, the lead State shall compile the results from all funded States into a single report and submit it to FNS. The original and two copies of the Final Progress Report shall be submitted to:

Marta Kealey
2007 WIC Special Project Grant Program Officer
Food and Nutrition Service, USDA
3101 Park Center Drive, 5th Floor
Alexandria, VA 22302

8. Quarterly Financial Reports. Effective fiscal year 2007, FNS will no longer accept paper SF-269 submissions from the grantee. The grantees are required to electronically enter the quarterly as well as the final financial status report (SF-269) into the Food Programs Reporting System (FPRS). Each report should reflect expenditures set forth in Section C. of Article III. This report must be certified by the Recipient's chief fiscal officer or an officer of comparable rank. If you are selected for a grant, we will provide further instructions on electronically entering your data into FPRS.
9. Final Financial Reports. As stated above, the grantees are required to electronically enter the final financial status report (SF-269) into the Food Programs Reporting System (FPRS). **The grantee shall enter its SF-269 data within 90 days of the expiration date of the grant agreement.** This report must be certified by the grantee's chief fiscal officer or an officer of comparable rank.

MODEL FOR WIC SPECIAL PROJECT GRANTS

For the last several years, FNS has been using a model for the WIC Special Project Grants that combines elements of the various approaches that have been used over the years. The model involves designating a specific focus area for the grants. Within the designated focus area, a range of projects will be possible. These projects will be awarded as cooperative agreements. State agencies awarded funding will interact with each other and FNS staff on a regular basis to share project information. Extensive dissemination of project results is expected so that other State agencies will have the opportunity to replicate the project and/or

learn from its results. For an application to be successful, it is essential that the results of the project can be used to improve WIC program services, and that they are applicable at the regional and national level. **WIC is especially interested in projects that utilize the WIC Works Resource System to disseminate information/resources. Information about this system may be found at <http://www.nal.usda.gov/wicworks/>.**

Funding will also be available for Concept Paper Development in FY 2007. Concept paper funds will be used to develop a preliminary concept into a full grant proposal for the following fiscal year. (For Concept Paper funding, see Application B.)

GRANT APPLICATION FORMAT AND REQUIREMENTS

Applicants must respond to all of the following sections. It is **strongly suggested** that applicants adhere to the following application format. Use of this format will make it easier for grant reviewers to locate the requested information and to evaluate your application. Failure to follow this format may result in reviewers being unable to locate the requested information within your application.

I. *Preface:*

- A. **Table of Contents:** Include a Table of Contents for your application.
- B. **Single Point of Contact:** Designate a single point of contact for your application. Provide the individual's name, title, mailing address, phone number, fax number, and email address.
- C. **Abstract:** Provide a 1-2 page summary of your project including goals and objectives, tasks, project environment, and project evaluation.
- D. **Focus Area:** Provide a description of how your project meets the focus area you have selected to address. Details on the three possible focus areas are contained in Attachments 1-3.¹

II. *Project Design and Implementation:* Provide a detailed description of the following:

- A. **Need for Project:** Discuss the problem that the proposed project addresses and how the expected results of the project can be used to improve program services in your State and at either the regional or national level.
- B. **Goals:** List and discuss each goal of the project design and implementation.
- C. **Objectives:** For each of the goals, list and discuss the associated objective(s). Objective(s) should be specific, measurable, and realistic (e.g. increase the proportion of parents knowledgeable about the importance of fruits and vegetables to good health by 25 percent; have a "shadow" peer group assignment

¹ Concept Papers funded in FY 2006 automatically meet one of the three focus areas.

method improve efforts to meet cost-neutrality requirements by 10 percent compared to the existing vendor peer-group assignments; increase children's awareness of the importance of drinking water at meals and snacks by 50 percent).

- D. **Tasks:** Discuss each specific task that will be undertaken during project design and implementation (e.g. design a nutrition education intervention, select participants for the intervention, train staff to perform the intervention, modify or develop training materials), how the tasks will meet the goals and objectives, **and** why the tasks are necessary to successfully design and implement the project.
- E. **Environment:** Depending on the structure of your project, respond to one and only one of the following. Choose the one that is most appropriate for your particular project.
- For projects that are intended to operate solely at the **state-level** (e.g. analysis of data from periodic telephone surveys of WIC participants' food intake), provide a state-level description of relevant characteristics that impact the operation of the project (e.g. participant characteristics, equipment, space, staffing, program operations, etc.). Provide a **justification** for operating the project at the state-level.
 - For interventions that will be implemented only **within selected local WIC clinics** and/or partner agencies, provide a local level description of relevant characteristics that impact the operation of the project (e.g. participant characteristics, equipment, space, staffing, and program operations, etc.). Provide a **justification** for your proposed choice of local clinics and/or partner agencies.
 - For interventions that will be implemented only within selected local WIC clinics and/or partner agencies in which clinics or agencies have **not yet been selected**, provide a description of how you intend to select appropriate clinics or agencies. Provide a **justification** for your selection criteria.

Note that FNS does not recommend interventions that will be implemented **state-wide in every local WIC clinic or agency**. Without a control or comparison group (e.g., local WIC clinics or agencies in which the intervention has not been implemented), it is very difficult to develop a research design that can adequately evaluate the impacts of an intervention.

- F. **Letters of Support:** If applicable, provide documentation of agreements or memoranda of understanding with local WIC clinics and/or partner agencies **in the appendix of the proposal**.

III. *Project Evaluation:*

FNS recognizes that many WIC State agencies may not have staff who are experienced in preparing evaluation plans. State agencies applying for funding should include a staff person with experience in designing, developing, implementing and evaluating social or public health research projects. This person could be a social scientist or someone with a public health nutrition or public health research background from a university, consulting firm, institute, or government agency. As further assistance for developing your evaluation, the following publications are available on the FNS/OANE website at www.fns.usda.gov/oane/.

WIC Evaluation Resource Guide

WIC Special Project Grants Evaluation Technical Assistance Guide

Nutrition Education: Principles of Sound Impact Evaluation

- A. **Type of evaluation:** Indicate the type(s) of evaluation you are planning to use. There are three types of evaluations commonly used to assess WIC and other social programs. Process or implementation evaluations provide detailed descriptive information on the way a program operates. Outcome assessments of impact evaluations are usually more quantitative in nature and attempt to measure actual program outcomes or impacts. The third type, cost-benefit analysis, attempts to compare the cost of a project with its estimated benefit.
- B. **Research Design:**
1. **Research Questions:** For each of the objectives of the project design and implementation, list and discuss *specific* research questions that will be answered during the evaluation (e.g. Does the proposed nutrition intervention increase participant consumption of fruits and vegetables, and by how much? Does acceptability of the training seminar by WIC nutritionists differ by characteristics such as ethnicity and years of experience?).
 2. **Measures:** For each research question, discuss specific measures that you will use (e.g. maternal risk factors collected via telephone interview surveys; nutrition education attendance levels reported in administrative records). Discuss the strengths and weaknesses of the proposed measures.
 3. **Research Methods:** Discuss the methods that will be used to answer each research question including:
 - (a) Sampling plan and expected sample size

- (b) Data collection methods (how and by whom)
 - (c) Data analysis methods (how and by whom)
 - (d) Strengths and weaknesses of the research methods.
4. **Findings/Results:** Discuss the important results or findings you expect from the study/project. What makes them unique or different from other previous study findings or project results?

IV. Sustainability and Transferability:

- A. **Sustainability:** Discuss how your project and its results will be sustained financially and administratively once the grant ends. If the project is a one-time project designed only to be performed during the grant period, discuss why it is sufficient as a one-time project and how the results will be used in the future.
- B. **Transferability:** Discuss how your project and its results might inform other WIC State agencies and how and why it might be adapted and implemented by other agencies. Discuss plans for preparing and disseminating a final report including how and with whom the report will be shared (e.g., FNS, National WIC Association, conferences, universities, and journals).

V. Key Personnel:

- A. Applicants are responsible for identifying the individuals in their application that qualify as key personnel. Key personnel can include individuals receiving funding through this grant, individuals who are making an in-kind contribution, and contractors/sub-contractors. Key personnel generally are identified as those individuals who:
 - Have a direct bearing on the outcome of the project by their participation,
 - Bear a substantive responsibility for developing, modifying and achieving the objectives of the project, or
 - Are responsible for managing, administering, conducting or providing oversight for a significant component of the project.
- B. For **all** identified key personnel, please provide the following information:
 - Indicate the individual's current position and what their title will be on the proposed project.

- Describe the individual’s specific role and duties on the project. Where possible, make reference to the project design/ implementation or project evaluation narrative (i.e. Jane Doe will be responsible for developing the training curriculum described on page 10 of the application).
- Describe prior relevant experience and how it relates to project duties.
- Identify time commitment for each key staff with percentages of FTE or total work hours per month for each of the three years of the project.
- Identify all other projects, job positions (governmental and/or contractual), and other work-related commitments that each key staff member will be scheduled to work on during the grant or concept paper time-frame.
- **In the appendix**, provide a current Resume or Vita for the individual.
- **In the appendix**, provide a letter of commitment from the individual’s supervisor indicating the individual’s time commitment to the project.
- For key project positions that are currently **vacant** that must be filled in the course of the project, provide the following information instead: 1) position title; 2) **in the appendix**, a detailed position description with required qualifications, skills, and knowledge; 3) a description of specific roles and duties on the project, making reference back to the project or evaluation narrative; 4) an anticipated date of hire; and 5) what arrangements will be made if the position is not filled in a timely manner.

VI. Management and Budget Plan:

A. Management plans

1. **Chain of Command and Responsibilities:** Provide an organizational chart that indicates who has authority over whom, with a written description. Discuss how task leaders will be held accountable to keep the project on time and within budget. Describe how and by whom quarterly performance reports to FNS will be prepared as required by 7 CFR Part 3016.40.²
2. **Contingency Plans:** Discuss contingency plans for ensuring that the project is not unduly disrupted by unforeseen changes in key personnel. Where possible, identify specific individuals who will be able to take over project tasks and indicate their qualifications to do so. Otherwise, discuss the process you will use to select qualified replacements.

² Copies of 7CFR Part 3016.40 may be requested from the FNS Grants Management Division.

3. **Outside Personnel:** Discuss how and by whom relationships with **all** personnel outside of the primary grantee agency will be managed (e.g., personnel from local WIC clinics or partner agencies, personnel from other State agencies, university personnel, consultants, contractors).
4. **Task Table:** Present a table which includes, in chronological order, **every** distinct task involved in both the project design and implementation and the project evaluation (e.g. implementation of new procedures pertinent to the project, survey development, training activities, data collection, data analysis, report writing, etc.), the beginning and ending date of each task, and the key staff person(s) responsible for overseeing/working on the task. The sample task table below, **though neither comprehensive nor complete**, demonstrates the first few project design, implementation and evaluation tasks of a sample project.

Sample Task Table

Task No.	Task Name	Description	Date Begins	Date Ends	Responsible Staff
1	Develop Curriculum	Develop Curriculum for use in the infant feeding practices nutrition education intervention	9/29/05	12/31/05	Jane Doe, Project Director & Suzy Que, Nutritionist
2	Test Curriculum	Field test the curriculum with 15 participants and 3 staff, hold focus groups with staff and with participants to identify necessary changes	1/1/06	2/1/06	Suzy Que, Nutritionist
3	Analyze Focus Group Data	Code, enter, and analyze data gathered in focus groups, identify necessary curriculum changes.	2/1/06	2/15/06	Jack Data, research analyst
4	Revise Curriculum	Revise curriculum based on results of focus groups	2/15/06	3/15/06	Suzy Que, Nutritionist
5	Develop KAB pre & post tests	Develop surveys to test infant feeding knowledge of participants before and after intervention	2/15/06	3/15/06	Lori Sample, Evaluation Consultant
6	Pre-test surveys	Field test the KAB pre & post test surveys with 15 participants	3/16/06	4/10/06	Jack Data, research analyst.

B. Budget and Justification:

1. **Budget:** Provide line item detail and calculations for each budget object class identified in Section B, Budget Categories (a-j), of SF 424A. Details of calculation(s) must include estimation methods, quantities, unit costs, and

other similar detail sufficient for it to be duplicated. Budget details must be provided for both Federal and non-Federal resources.

For purposes of preparing the budget “Federal resources” refer only to the requested WIC Special Project Grant funds. Non-Federal resources are all other Federal and non-Federal resources, including **in-kind** contributions. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal resources; next column, non-Federal resources; and last column, total budget. A separate budget page is required for **each** budget year requested as well as a total across all years. As part of your budget, please assume the following:

- One meeting per year (two meetings in the final year of the project) at FNS headquarters: the meeting will last two days and each State should send two participants.
- Each state will assume the cost for one conference call with FNS and the other grantees during the course of the project. Assume that 10 lines will be needed for the call and that the call will last 120 minutes.

A sample budget table is provided for illustrative purposes on page 15. It is not comprehensive and the unit costs and rates of pay are not necessarily intended to represent standard or reasonable costs.

2. **Budget Justification:** For each part of Section B, Budget Categories, applicants **must** submit a written justification for each budget category. The written justification should: 1) describe how the categorical costs were derived (i.e., price comparisons, standard government cost, estimates by proposed local vendor, prior experience with similar projects, etc.); 2) discuss the necessity, reasonableness, and allocability of proposed costs; and 3) when possible, link expenditures to specific project activities/tasks. For any contractual costs, please **also** provide a justification for the proposed selection method (i.e., competitive or sole source).
3. **Indirect cost rate agreements (ICRA):** Applicants claiming indirect costs **must** provide a copy of an approved ICRA for all indirect costs and a written explanation for how the indirect costs were applied to the budget. If indirect costs are not being claimed, then please indicate it.

VII. Appendices:

Include each of the following sections as a **separate** appendix:

- A. Resumes and vitas for key personnel,
- B. Letters of commitment from supervisors of key personnel,

- C. Job descriptions for key personnel that must be hired,
- D. Copies of agreements or memoranda of understanding with local WIC clinics and/or partner agencies, and
- E. Any other supporting documentation.

Sample Budget Table (Year 1)

Object Class Categories	Federal Resources	Non-Federal Resources	Total
Personnel	\$25,000	\$10,500	\$35,500
Jane Doe, Project Director	\$50,000 salary @ .40 FTE = \$20,000		\$20,000
Suzy Que, Nutritionist		\$35,000 salary @ .30 FTE = \$10,500	\$10,500
Jack Data, Research Analyst	\$50,000 salary @ .10 FTE = \$5,000		\$5,000
Fringe Benefits	\$5,000	\$2,100	7,100
Jane Doe, Project Director	\$20,000 * .20 fringe rate = \$4,000		\$4,000
Suzy Que, Nutritionist		\$10,500 * .20 fringe rate = \$2,100	\$2,100
Jack Data, Research Analyst	\$5,000 * .20 fringe rate = \$1,000		\$1,000
Travel	\$2,356		\$2,356
Travel to FNS headquarters	Airfare @ \$600 x 2 staff + per diem @ \$145 x 2 staff x 2 days = \$1780		\$1780
Meetings between staff	.32 per mile @ 150 miles x 4 trips x 3 staff = \$576		\$576
Equipment	\$2,000		\$2,000
Computer	1 computer @ \$2,000		\$2,000
Supplies	\$150		\$150
Photocopying	1000 copies @ .05/copy = \$50		\$50
Fedex	20 Fedex packages @ \$5.00 = \$100		\$100
Contractual	\$50,000		\$50,000
Evaluation Consultant	\$50,000		\$50,000
Construction	\$0		\$0
Other	\$1400		\$1400
Long-distance	3000 minutes @ .30/minute = \$900		\$900
Conference call with FNS and other grantees	1 call @ \$100		\$100
Total Direct	\$85,506	\$12,600	\$98,106
Indirect Charges	\$9,000	\$3,780	\$12,780
	.30 indirect rate * \$30,000 salaries and fringe = \$9,000	.30 indirect rate * \$12,600 salaries and fringe = \$3,780	
Totals	\$94,506	\$16,380	\$110,886

EVALUATION OF GRANT APPLICATIONS

Applications will initially be screened to make sure that they meet one the three designated focus areas. Applications that do not meet this initial screen **will not be evaluated further**. After initial screening, FNS will convene a panel of FNS staff and representatives from the National WIC Association (NWA) to review and determine the technical merit of each grant application. The panel will evaluate each grant application according to how well it addresses each application component. The panel will assign each application a score using the evaluation criteria and weights specified below.

WEIGHTS: Scores will be assigned as follows:

<u>5-Point Scale:</u>	1 = Unsatisfactory;	2 = Fair;	3= Satisfactory;
	4 = Good;	5 = Excellent.	
<u>10-Point Scale:</u>	1-2 = Unsatisfactory;	3-4 = Fair;	5-6= satisfactory;
	7-8 = Good;	9-10 = Excellent.	
<u>15-Point Scale:</u>	1-3 = Unsatisfactory;	4-6 = Fair;	7-9= Satisfactory;
	10-12 = Good;	13-15= Excellent.	

TECHNICAL EVALUATION CRITERIA AND WEIGHTS

Project Design and Implementation **20 points**

The significance of the problem to be addressed is demonstrated and specific gaps or weaknesses in regional or national services have been identified and will be addressed through the proposed project. 5

Project goals and objectives are clearly identified and appropriate. Objectives are linked to project goals and measurable. 5

Project design and implementation tasks follow directly from project goals and objectives and the necessity of the tasks are adequately explained. 5

The environment in which the project will operate is appropriate and compatible with project goals and objectives, and proper justifications for the choice of the environment are provided. If applicable, letters of support or memoranda of understanding are included in the application. 5

Project Evaluation **20 points**

Extent to which the research/project design, including research questions, 10

measures, sampling, data collection, and data analysis is thorough, feasible and appropriate to the goals and objectives of the project.

Research plan includes appropriate and feasible use of a pre-post and/or treatment/comparison design with randomization. If such a research design is not appropriate for the proposed project, the proposal explains why, indicates the range of alternative designs considered, and provides a thoughtful explanation for the design proposed. 5

Potential problems and weaknesses with the research/project design are acknowledged and discussed. 5

Sustainability and Transferability **20 points**

Feasibility of incorporating project purposes, activities, or results into the ongoing program of the agency at the end of Federal funding. 10

Transferability of the project and its results for adaptation and implementation by other State WIC agencies. 10

Key Personnel **20 points**

Key personnel have the necessary education, skills, and experience for their proposed roles on the project. Supporting documentation (e.g., resume/vita, position descriptions for vacant positions) is included for all key personnel. 10

The time commitment, duties, staffing mix, and concurrent staff responsibilities within and outside the grant (i.e. staff responsibilities with other projects, job positions, consultant work, etc.), contingency plans, and a clearly defined chain of command of key personnel are reasonable and appropriate to successfully complete the grant. Supporting documentation (i.e., letters of commitment from supervisors) should be included for all key personnel. 10

Management and Budget Plan **20 points**

The management plan provides a task description and table that demonstrates a thorough understanding of the tasks, timeline, and staffing needed to successfully complete the project. The management plan also provides the oversight necessary to ensure high quality products, services, or outcomes, and to keep the project on time and within budget (including appropriate plans for managing outside personnel). Past performance may be reviewed during the 10

evaluation and selection process.

The budget request is adequate to support the project and detailed calculations and budget details for both Federal and non-Federal resources are provided. 5

Appropriate budget justifications are provided, including descriptions of how categorical costs were derived, discussions of necessity, reasonableness, and allocability of costs, and links between expenditures and activities/tasks. If applicable, justifications for contract selection methods are provided. 5

SELECTION OF GRANT APPLICATIONS

After evaluation and scoring, grant applications will be arrayed by score, starting with the highest score. In general, awards will be made in ranking order until available funds are committed. However, if the selecting officials determine that, based upon their scores, few of the applications are of technical merit, FNS can award no grants or less than the total amount of set aside for this purpose. In addition, FNS reserves the option to select out of ranking, or to select an ITO in order to achieve a diversity and regional representation.

Once the grant is awarded, the State agency must sign an agreement containing the terms and conditions of the grant contained in the regulations described in 7 CFR 3015/3016/3017/3018/3019/3021/3052. (A copy of these regulations may be obtained at <http://www.gpoaccess.gov/cfr/index.html>.) Applicants must agree to comply with the USDA regulations above, which codify Office of Management and Budget (OMB) circulars listed below.

- 7 CFR Part 3015: “Uniform Federal Assistance Regulations;”
- 7 CFR Part 3016: “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments” (Reference OMB Circular A-102 Common Rule);
- 7 CFR Part 3017: Subparts A-E, “Government-wide Debarment and Suspension (Non-Procurement);”
- 7 CFR Part 3018: “New Restrictions on Lobbying;”
- 7 CFR Part 3019: OMB Circular A-110, “Uniform Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;”
- 7 CFR Part 3021: “Government-wide Requirements for a Drug-free Workplace (Financial Assistance);” and
- 7 CFR Part 3052: OMB Circular A-133, “Audits of States, Local Governments and Non-Profit Organizations.”

LIST OF ATTACHMENTS

- 1-3. FOCUS AREA DESCRIPTIONS
4. INTENT TO SUBMIT A WIC SPECIAL PROJECT GRANT APPLICATION
5. APPLICATION CHECKLIST
6. TERMS AND CONDITIONS OF AWARD
7. STANDARD FORM 424 - APPLICATION FOR FEDERAL ASSISTANCE (FOR NON-CONSTRUCTION)

STANDARD FORM 424a - BUDGET SUMMARY

STANDARD FORM 424b - ASSURANCES - NON CONSTRUCTION PROGRAMS
8. EVALUATION FORM

REQUIRED CERTIFICATION

1. CERTIFICATION REGARDING LOBBYING

FISCAL YEAR 2007 WIC SPECIAL PROJECT GRANTS

FOCUS AREA FOR FULL GRANTS

REVITALIZING QUALITY NUTRITION SERVICES (RQNS)

One of three possible focus areas for the FY 2007 WIC Special Project Grants is:

Revitalizing Quality Nutrition Services in WIC (RQNS) through a Focus on Implementation of Value Enhanced Nutrition Assessment (VENA)

Nutrition Services in WIC include the WIC nutrition assessment (for certification purposes and for application towards the tailoring of subsequent nutrition services and benefits), nutrition education, food package prescription, breastfeeding promotion and support, and referrals to health and social services. In the report *WIC Faces Challenges in Providing Nutrition Services*,³ the General Accounting Office (GAO) identified six challenges facing the WIC Program, including two challenges that specifically impact the delivery of high-quality nutrition services to participants. Those two challenges are **assessing the effect of nutrition services** and **improving WIC's ability to respond to emerging health issues**. In addition, recent studies have shown that WIC needs to: 1) strengthen its nutrition education component; 2) adopt a more behavioral approach in nutrition counseling; 3) be more client-oriented; and 4) focus on healthy behavior for life.

RQNS is a comprehensive and ongoing process of continuous program improvement at the Federal, State, and local levels that is refocusing attention on nutrition services as a core benefit of the WIC Program. Under the RQNS umbrella, the Value Enhanced Nutrition Assessment (VENA) initiative was implemented as a response to the Institute of Medicine (IOM) report: *Dietary Risk Assessment in the WIC Program (2002)*. The report may be obtained at the IOM website at <http://www.iom.edu>. The VENA initiative is intended to improve and enhance the WIC assessment process, reflect the WIC risk criteria that have changed as a result of the IOM report, streamline the nutrition assessment in order to collect more relevant and appropriate client information which guides the nutrition services provided by the WIC Program; and identify staff competencies associated with performing the comprehensive nutrition assessment that VENA envisions.

Further information about the VENA initiative may be found at the following website:

http://www.nal.usda.gov/wicworks/Learning_Center/Assessment_VENA.html”

The implementation of VENA will require staff training and enhanced WIC nutrition assessment policies and practices that result in a more positive, participant centered-approach

³ WIC Faces Challenges in Providing Nutrition Services (GAO-02-142, December 7, 2001). United States General Accounting Office, Washington, D.C.

that focuses on desired health outcomes. Knowledge of the comprehensive VENA goals, including the process of assessment and key staff competencies are expected to assist WIC staff in developing a positive rapport with participants, collecting more accurate and relevant information (without the traditional use of a food frequency questionnaire and 24 hour recall), and enhancing the effectiveness of the WIC nutrition services provided

The most appropriate proposals within this focus area will be those that identify and propose to implement changes in nutrition assessment that: (1) are consistent with VENA policy and guidance regarding the WIC nutrition assessment and/or staff competency skills associated with the assessment process; (2) can be implemented and evaluated within a three-year time span (beginning with the FY 2007 cycle of WIC Special Project Grants); (3) if determined to be successful, can be sustained by the State's project site after completion of the full grant (if awarded in FY 2007); and (4) can serve as an example to and be adopted by other WIC agencies to enhance WIC nutrition assessment.

The 2007 special project grants are expected to provide implementation approaches, research findings, and other materials that can be reproduced in other WIC settings and be published in peer reviewed journals. The final reports of the grants and any materials and/or tangible outputs may be made available after completion of the grant on USDA's WIC Works Resource Center at <http://www.nal.usda.gov/wicworks/>.

FISCAL YEAR 2007 WIC SPECIAL PROJECT GRANTS**FOCUS AREA FOR FULL GRANTS****REVITALIZING QUALITY NUTRITION SERVICES (RQNS)**

One of three possible focus areas for the FY 2007 WIC Special Project Grants is:

Revitalizing Quality Nutrition Services in WIC through a Focus on Fit WIC Healthy Behavior for Life

Nutrition Services in WIC include the WIC nutrition assessment (for certification purposes and for application towards the tailoring of subsequent nutrition services and benefits), nutrition education, food package prescription, breastfeeding promotion and support, and referrals to health and social services. In the report *WIC Faces Challenges in Providing Nutrition Services*,⁴ the General Accounting Office (GAO) identified six challenges facing the WIC Program, including two challenges that specifically impact the delivery of high-quality nutrition services to participants. Those two challenges are **assessing the effect of nutrition services** and **improving WIC's ability to respond to emerging health issues**. In addition, recent studies have shown that WIC needs to: 1) strengthen its nutrition education component; 2) adopt a more behavioral approach in nutrition counseling; 3) be more client-oriented; and 4) focus on healthy behavior for life.

RQNS is a comprehensive and ongoing process of continuous program improvement at the Federal, State, and local levels that is refocusing attention on nutrition services as a core benefit of the WIC Program. **The RQNS focus area for the 2007 WIC Full Grants is intended to build on the successes of the 1999 WIC Special Project Grants (SPG)--obesity prevention projects that promote healthy nutrition-related behaviors for life that are referred to as "Fit WIC"--by replicating and/or slightly modifying existing materials and other tangible outputs already developed in Fit WIC and then evaluating the replicated or modified materials for effectiveness in specific WIC settings (e.g. rural or urban) and/or WIC populations (e.g. Native American participants, Hispanic participants).** Applicants should refer to the WIC Works Resource System (<http://www.nal.usda.gov/wicworks/>) for more information and materials regarding the 1999 Fit WIC reports and materials.

The 2007 grants are expected to replicate and/or slightly modify the **existing** Fit WIC materials and evaluate the replicated or modified materials for effectiveness in other WIC settings and/or populations. The original Fit WIC materials may be adapted or have minor modifications for the purpose of regional preferences and cultural needs. It is expected, however, that the funded projects will concentrate their resources on implementing the Fit

⁴ WIC Faces Challenges in Providing Nutrition Services (GAO-02-142, December 7, 2001). United States General Accounting Office, Washington, D.C.

WIC materials (original or modified) and evaluating both the process and outcomes of using these materials.

The most appropriate grant proposals will be those that: (1) replicate and/or slightly modify Fit WIC materials for effectiveness in the WIC setting; (2) can be replicated in a variety of WIC settings (without changes or with minor changes for the purpose of regional preferences and cultural needs); (3) include a clear implementation plan and appropriate procedures for assessing and describing the “lessons learned” during implementation; and (4) have a rigorous evaluation component.

The 2007 special project grants are expected to provide implementation approaches, research findings, and other materials that can be reproduced in other WIC settings and be published in peer reviewed journals. The final reports of the grants and any materials and/or tangible outputs may be made available after completion of the grant on USDA’s WIC Works Resource Center at <http://www.nal.usda.gov/wicworks/>.

FISCAL YEAR 2007 WIC SPECIAL PROJECT GRANTS

FOCUS AREA FOR FULL GRANTS

IMPLEMENTATION OF WIC VENDOR COST CONTAINMENT

One of three possible focus areas for the FY 2007 WIC Special Project Grants is:

Implementation of WIC Vendor Cost Containment

In response to concern about WIC food costs charged by some vendors, particularly when such vendors sell primarily to WIC participants (known as above-50-percent vendors), the Child Nutrition and WIC Reauthorization Act of 2004 (Act) included specific provisions regarding WIC vendor cost containment. The Act requires State agencies to establish a vendor peer group system, and competitive price criteria and allowable reimbursement levels for each vendor peer group. For State agencies that authorize above-50-percent vendors, the Act also requires assurance that such vendors are cost neutral to the program, i.e., aggregate WIC food costs are no higher if WIC participants choose to shop at above-50-percent vendors than if they shop at regular stores.

Projects that will be considered are proposals that address determining which methods are the most efficient and effective for complying with the vendor cost containment requirements of the Child Nutrition and WIC Reauthorization Act of 2004. A copy of the Act is available at the following website:

http://www.fns.usda.gov/cnd/Governance/Legislation/Historical/PL_108-265.pdf

Areas of consideration include determining methods for:

- developing peer groups;
- determining whether a vendor meets its peer group competitive price selection criteria;
- setting maximum allowable reimbursement amounts for food instrument types;
- editing food instruments submitted for redemption based on maximum allowed amounts; and,
- evaluating whether the overall cost neutrality requirement has been met, i.e., that the average redemption amount of all above-50-percent vendors per each food instrument type is not statistically greater than the average of all regular vendors statewide.

The most appropriate grant proposals will be those that include: (1) a clear implementation plan and appropriate procedures for assessing and describing the different methods; (2) an implementation plan and assessment procedures which would be readily transferable to other WIC State agencies; and (3) a rigorous evaluation component.

The 2007 special project grants are expected to provide implementation approaches, research findings, and other materials that can be reproduced in other WIC settings and be published in peer reviewed journals. The final reports of the grants and any materials and/or tangible outputs may be made available after completion of the grant on USDA's WIC Works Resource Center at <http://www.nal.usda.gov/wicworks/>.

INTENT TO SUBMIT

**ALL INTENT TO SUBMIT FORMS MUST BE RECEIVED BY FNS
NO LATER THAN 5:00 PM EASTERN TIME ON
MONDAY, FEBRUARY 5, 2007.**

If you intend to submit an application for a FY 2007 WIC Special Project Full Grant, you must complete and return this form, via fax or e-mail, to:

John A. Kirlin, Ph.D., Project Manager
Food and Nutrition Service, USDA
Office of Analysis, Nutrition, and Evaluation
3101 Park Center Drive
Alexandria, VA 22302
Phone: (703) 305-2128
Fax: (703) 305-2576; e-mail: john.kirlin@fns.usda.gov

Title of Project: _____

Abstract (50-100 words): _____

Applicant (State agency name and address): _____

Contact Person: _____

Title: _____

Telephone: _____ Fax _____

e-mail: _____

APPLICATION CHECKLIST

PROPOSAL

_____ Number of pages: no more than twenty (20) excluding appendices.

_____ Original application ready for copying
_____ single-sided
_____ unstapled
_____ unbound (except for paper clip or binder clip)
_____ 8 ½" X 11" paper
_____ single-spaced
_____ no color paper
_____ no CD-ROMs

_____ Two additional copies

_____ I. Preface
_____ A. Table of Contents
_____ B. Single Point of Contact
_____ C. Abstract

_____ II. Project Design and Implementation
_____ A. Need for Project
_____ B. Goals
_____ C. Objectives
_____ D. Tasks
_____ E. Environment
_____ F. Letter of Support

_____ III. Project Evaluation
_____ A. Type of Evaluation
_____ B. Research Design

_____ IV. Sustainability and Transferability
_____ A. Sustainability
_____ B. Transferability

_____ V. Key Personnel

_____ VI. Management and Budget Plan
_____ A. Management Plans
_____ B. Budget and Budget Justification

- _____ VII. Appendices
 - _____ A. Resumes and vitas for key personnel
 - _____ B. Letters of commitment from supervisors of key personnel
 - _____ C. Job descriptions for key personnel that must be hired
 - _____ D. Copies of agreements and memoranda of understanding with local WIC clinics and/or partner agencies
 - _____ E. Any other supporting documentation

STANDARD FORMS (Original and 2 copies, see Attachment 7)

- _____ Standard Form 424, Application for Federal Assistance
- _____ Standard Form 424A, Budget Summary
- _____ Standard Form 424B, Assurances - Non-Construction Programs

CERTIFICATION (Original and 2 copies, see Attachment 7)

- _____ Certification Regarding Lobbying - Contracts, Grants, Loans, and Cooperative Agreements
- _____ Disclosure of Lobbying Activities

OBTAIN A DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

- _____ Registered and obtained a Data Universal Numbering System (DUNS) number.

TERMS AND CONDITIONS OF AWARD

This grant will be awarded and administered in accordance with 7 CFR Parts 3015, 3016, 3017, 3018, 3019, 3021, and 3052, and the applicable regulations and OMB grant circulars, as described below. **Copies of these documents are available from the Grants Officer upon request.**

- 7 CFR Part 3015: “Uniform Federal Assistance Regulations”.
- 7 CFR Part 3016: “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”.
- 7 CFR Part 3017: Subparts A-E “Government-wide Debarment and Suspension (Non-procurement)”.
- 7 CFR Part 3018: “New Restrictions on Lobbying”.
- 7 CFR Part 3019: “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations”.
- 7 CFR Part 3021: “Government-wide Requirements for a Drug-free Workplace (Financial Assistance)”.
- 7 CFR Part 3052: “Audits of States, Local Governments and Non-Profit Organizations.”
- OMB Circular A-21: Cost Principles for Educational Institutions.
- OMB Circular A-87: Cost Principles for State and Local Governments.
- OMB Circular A-122: Cost Principles for Nonprofit Organizations.
- 41 CFR 1-15.2 (FAR Part 31): Cost Principles for For-Profit Organizations.
- OMB Circular A-133: Audits of State, Local Governments and Nonprofit Organizations.

The following forms and documents are included in this attachment:

- 1. STANDARD FORM 424 - APPLICATION FOR FEDERAL ASSISTANCE
(FOR NON-CONSTRUCTION)**
- 2. INSTRUCTIONS FOR COMPLETING STANDARD FORM 424**
- 3. CERTIFICATION REGARDING LOBBYING**
- 4. DISCLOSURE OF LOBBYING ACTIVITIES**

**APPLICATION FOR
FEDERAL ASSISTANCE**

- 1. TYPE OF SUBMISSION:**
 Application
 Construction
 Non-Construction
- Pre-application**
 Construction
 Non-Construction

2. DATE SUBMITTED	Applicant Identifier
--------------------------	-----------------------------

- 3. DATE RECEIVED BY STATE** State Application Identifier
- 4. DATE RECEIVED BY FEDERAL AGENCY** Federal Identifier

5. APPLICANT INFORMATION

- Legal Name:**
- Organizational DUNS:**
- Address:**
- Street:**
- City:**
- County:**
- State:** **Zip Code:**
- Country:**
- Organizational Unit:**
- Department:**
- Division:**
- Name and telephone number of person to be contacted on matters involving this application (give area code)**
- Prefix:** **First Name:**
- Middle Name:**
- Last Name:**
- Suffix:**
- Email:**

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

□□□-□□□□□□□□

- 8. TYPE OF APPLICATION:**
 New Continuation Revision

If Revision, enter appropriate letter(s) in box(es)
 (See back of form for description of letters.)

Other (specify)

10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

□□-□□□□

TITLE (Name of Program):

12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc):

- 13. PROPOSED PROJECT**
Start Date: **Ending Date:**

15. ESTIMATED FUNDING:

- a. Federal \$
 b. Applicant \$
 c. State \$
 d. Local \$
 e. Other \$
- f. Program Income \$
 g. TOTAL \$

- Phone Number (give area code)** **Fax Number (give area code)**

7. TYPE OF APPLICANT: (See back of form for Application Types)

Other (specify)

9. NAME OF FEDERAL AGENCY:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

- 14. CONGRESSIONAL DISTRICTS OF:**
 a. Applicant b. Project

- 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**
 a. Yes THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:

- b. No PROGRAM IS NOT COVERED BY E. O. 12372
 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

- Yes If "Yes" attach an explanation. No

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

- a. Authorized Representative
- Prefix** **First Name** **Middle Name**
Last Name **Suffix**
- b. Title c. Telephone Number (give area code)
- d. Signature of Authorized Representative e. Date Signed

Previous Edition Usable
 Authorized for Local Reproduction

Standard Form 424 (Rev. 9-2003)
 Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 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 (0348-0043), 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.

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

- It** **Entry:**
Select Type of Submission.
- Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable)
 State use only (if applicable).
- Enter Date Received by Federal Agency Federal Identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.
- Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
- Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
- 7 Select the appropriate letter in the space provided.
- | | |
|--------------------------------|-----------------------|
| A. State | I. State Controlled |
| B. County | Institution |
| C. Municipal | of Higher Learning. |
| D. Township | J. Private University |
| E. Interstate | K. Indian Tribe |
| F. Intermunicipal | L. Individual |
| | M. Profit |
| G. Special District | Organization |
| H. Independent School District | N. Other (Specify) |
| | O. Not for Profit |
| | Organization |
- 8 Select the type from the following list:
- "New" means a new assistance award.
 - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
 - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:

A. Increase Award	B. Decrease Award
C. Increase Duration	D. Decrease Duration
- 9 Name of Federal agency from which assistance is being requested with this application.
- 10 Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

- I** **Entry:**
Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
List only the largest political entities affected (e.g., State, counties, cities).
- Enter the proposed start date and end date of the project.
- List the applicant's Congressional District and any District(s) affected by the program or project
- 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. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 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.
- 1 This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
- 1 To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. 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 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 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 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 undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients 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. Code. 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.

By _____ Date: _____
(Signature of Official (Executive Director) Authorized to Sign Application)

By _____ Date: _____
(Signature of Official (Chief Financial Officer) Authorized to Sign Application)

For _____
Name of Grantee

Title of Grant Program

INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required within 30 days of each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks subawardee, then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 [e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency]. Include prefixes, e.g., RFP-DE-90-001.
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 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 (0348-0046), Washington, D.C. 20503.
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STANDARD FORM 424A - BUDGET SUMMARY

} BUDGET INFORMATION - Non-Construction Programs		OMB Approval No. 0348-0044				
SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. ANA SEDS	93-612	\$	\$	0	0.00	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				Total (5)
		(1) ANA SEDS	(2)	(3)	(4)	
a. Personnel		\$	\$	\$	\$	0
b. Fringe Benefits						0
c. Travel						0
d. Equipment						0
e. Supplies						0
f. Contractual						0
g. Construction						0
h. Other						0
i. Total Direct Charges (sum of 6a - 6h)			0.00	0.00	0.00	0
j. Indirect Charges						0
k. TOTALS (sum of 6i and 6j)		\$	\$0.00	\$0.00	\$ 0.00	\$ 0
7. Program Income		\$ 0.00	\$	\$	\$	0.00

} SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. ANA SEDS	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
9.				0.00	
10.				0.00	
11.				0.00	
12. TOTAL (sum of lines 8 and 11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	(Total for 1st Year)	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
14. NonFederal	0.00	0.00	0.00	0.00	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. ANA SEDS	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION F - OTHER BUDGET INFORMATION					
(Attach additional sheets if Necessary)					
21. Direct Charges: \$ 0.00			22. Indirect Charges: \$ 0.00		
23. Remarks:					

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

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 cost) 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. 4728-4763) 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 C.F.R. 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 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) 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 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 project purposes regardless of Federal participation in purchases.
8. 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.

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 U.S.C. 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 floodplains 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. 1721 et seq.) related to protecting components or potential components of the national wild 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**EVALUATION FORM
WIC SPECIAL PROJECT GRANTS**

Directions: Evaluate how well this proposal meets the evaluation criteria. Assign a score for each evaluation criterion using the rating standards described below and the indicated weighting factor. You must justify the score by describing in writing the strengths and weaknesses on each criterion. Refer to specific page numbers of the proposal when justifying the ratings. After you have assigned a rating and a score for each criterion, add the scores and derive a total score.

WEIGHTS: Assign scores using the following scales:

- | | | | |
|-------------------------------|--|---|----------------------------|
| <u>5-Point Scale:</u> | 1 = Unsatisfactory;
4 = Good; | 2 = Fair;
5 = Excellent. | 3 = Satisfactory; |
| <u>10-Point Scale:</u> | 1-2 = Unsatisfactory;
7-8 = Good; | 3-4 = Fair;
9-10 = Excellent. | 5-6 = Satisfactory; |
| <u>15-Point Scale:</u> | 1-3 = Unsatisfactory;
10-12 = Good; | 4-6 = Fair;
13-15 = Excellent. | 7-9 = Satisfactory; |

STATE AGENCY: _____

Reviewer's Name: _____

Reviewer's Signature: _____ Date: _____

<u>TECHNICAL EVALUATION CRITERIA</u>	<u>MAX</u>	<u>SCORE</u>
1. Project Design and Implementation	20 points	_____
2. Project Evaluation	20 points	_____
3. Sustainability and Transferability	20 points	_____
4. Key Personnel	20 points	_____
5. Management and Budget Plan	20 points	_____
<u>TOTAL SCORE</u>	<u>100 Points</u>	_____

TECHNICAL EVALUATION CRITERIA	MAX	SCORE
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Project Design and Implementation	20 points	_____
a. The significance of the problem is demonstrated and specific gaps and weaknesses in regional or national services have been identified and will be addressed through the proposed project.	5 points	_____
b. Project implementation and design goals are appropriate. Objectives are clearly specified, linked to project goals, and measurable.	5 points	_____
c. Project design and implementation tasks follow directly from the goals and objectives of the project, and the necessity of the tasks is adequately explained.	5 points	_____
d. The environment in which the project will operate is appropriate for the project and compatible with the goals and objectives, and appropriate justifications for the choice of the environment are provided. If applicable, letters of support/memoranda of understanding are included in the application.	5 points	_____

Strengths

Weaknesses

<u>TECHNICAL EVALUATION CRITERIA</u>	<u>MAX</u>	<u>SCORE</u>
Project Evaluation	20 points	_____
—		
a. Extent to which the research/project design (including research questions, measures, sampling, data collection, and data analysis) is thorough, feasible and appropriate to the goals and objectives of the project.	10 points	_____
b. Research plan includes appropriate and feasible use of a pre-post and/or treatment/comparison design with randomization. If such a research design is not appropriate for the proposed project, the proposal explains why, indicates the range of alternative designs considered, and provides a thoughtful explanation for the design proposed.	5 points	_____
c. Potential problems with the research design are acknowledged and discussed.	5 points	_____

Strengths

Weaknesses

<u>TECHNICAL EVALUATION CRITERIA</u>	<u>MAX</u>	<u>SCORE</u>
3. Sustainability and Transferability	20 points	_____
a. Feasibility of incorporating project purposes, activities, or results into the ongoing program of the agency at the end of Federal funding.	10 points	_____
b. Transferability of the project and its results for adaptation and implementation by other State WIC agencies.	10 points	_____

Strengths

Weaknesses

<u>TECHNICAL EVALUATION CRITERIA</u>	<u>MAX</u>	<u>SCORE</u>
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4. Key Personnel	20 points	_____
a. Key personnel have the necessary education, skills, and experience for their proposed roles on the project. Supporting documentation (i.e., resume/vita, position descriptions for vacant positions) is included for all key personnel.	10 points	_____
b. The time commitment, duties, staffing mix, and concurrent staff responsibilities within and outside the grant (i.e., staff responsibilities with other projects, job positions, consultant work, etc.), contingency plans, and a clearly defined chain of command of key personnel are reasonable and appropriate to successfully complete grant. Supporting documentation (i.e., letters of commitment from supervisors) should be included for all key personnel.	10 points	_____

Strengths

Weaknesses

TECHNICAL EVALUATION CRITERIA

MAX SCORE

Management and Budget Plan

20 points _____

- a. The management plan provides oversight necessary to ensure high quality products, services, or outcomes, and keep the project on time and within budget, including appropriate plans for managing outside personnel, and clearly specified time-lines and milestones. Past performance may be reviewed during the evaluation and selection process. 10 points _____

- b. The proposed budget request is adequate to support the project, and detailed calculations and budget descriptions for both Federal and non-Federal resources are provided. 5 points _____

- b. Appropriate budget justifications are provided, including descriptions of how categorical costs were derived, discussions of the necessity, reasonableness, and allocability of proposed costs, and links between expenditures and specific activities/tasks. If applicable, appropriate justifications for contract selection methods are provided. 5 points _____

Strengths

Weaknesses