

## ATTACHMENT A



OMB BURDEN STATEMENT: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0584-0512. The time required to complete this information collection is estimated to average 60 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

**FOOD AND NUTRITION SERVICE  
NATIONAL SCHOOL LUNCH PROGRAM  
FISCAL YEAR 2013  
REQUEST FOR APPLICATIONS  
ADMINISTRATIVE REVIEWS AND TRAINING  
METHOD I GRANTS**

*States are required to use this solicitation to apply for the Administrative Reviews and Training Method I Grants*

**APPLICATION DUE DATE: MARCH 15, 2013**  
(Catalog of Federal Domestic Assistance Number (CFDA) number 10.579)

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FY2013 Method I Grants**

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**Separate Document**

Attachment B – Additional Administrative Reviews Application Template for ART Method I Grants

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**I. BACKGROUND AND PURPOSE**

The Child Nutrition and WIC Reauthorization Act of 2004 (P.L. 108-265) amended Section 22 of the Richard B. Russell National School Lunch Act (NSLA), to establish a requirement that State agencies conduct additional administrative reviews (AARs) of selected local educational agencies. It also amended Section 7 of the Child Nutrition Act to provide funding for States to be used for administrative reviews and training of local educational agencies. Both of these requirements are focused on school food authorities (SFAs) which have demonstrated a high level of, or a high risk for, administrative error.

Since 2009, the USDA Food and Nutrition Service (FNS) has announced application opportunities for two types of ART grants to assist State agencies in achieving these requirements: 1) Method I ART grants which provide funding for conducting AARs, and 2) Method II ART grants that provide funding for training and oversight activities. This announcement describes the FY 2013 Method I grant application process. Information pertaining to Method II grants will be issued later in FY 2013.

ART Method I grant funding will be awarded to assist State agencies in conducting AARs as required under Section 22 of the NSLA. An AAR in the NSLP includes, but is not limited to, a review of applications, certification, verification, and/or meal counting, and meal claiming procedures. These areas are covered by the administrative review process. The administrative review procedures, as specified in 7 CFR 210.18, must be used to conduct the additional review(s) unless alternate procedures are approved by FNS. If an AAR results in significant findings, the State agency must conduct a follow-up review to confirm that all required corrective actions have been implemented. The requirement for AARs of such SFAs for school year 2012-2013 is described in FNS Memorandum SP18-2013 (*Additional Administrative Reviews (AAR) and State Retention of Improperly-Paid Funds in School Year (SY) 2012-2013*, December 26, 2012), which can be found on the Agency's PartnerWeb at <https://www.partnerweb.usda.gov> and FNS website at <http://www.fns.usda.gov/cnd/Governance/policy.htm>. Please note that the AAR requirements are published each school year. Instructions for SY 2013-2014 will be issued at a later date.

**II. DATES**

Applications must be submitted to Grants.gov by **11:59 PM, Eastern Standard Time, March 15, 2013**. Applications submitted after this date and time will not be considered for funding.

**III. WHO MAY APPLY**

Eligible applicants include all State agencies that administer the NSLP. In this instance, the term State agency means: (a) the State educational agency, and (b) any other agency of the State which has been designated by the Governor or other appropriate executive or legislative authority of the State and approved by the Department of Agriculture to administer the Program in schools. In instances where there are two agencies within a State, such as in the case where

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the public and private agencies are different, separate applications are acceptable. However, in all instances, in order to be considered, an application in response to this solicitation must be submitted by the State agency(s).

**IV. AVAILABLE GRANT FUNDS AND DEADLINES**

Available funds will be awarded to State agencies in the form of grants; however, the submission of a request for funds does not guarantee funding. The actual number of awards will depend on the availability of funds.

Funding may be requested up to \$3,500 per review. Due to variations in State agency size, State agencies may be allowed to request more than \$3,500 per SFA review. If a State agency requests more than \$3,500 per review, appropriate justification must be provided to enable FNS to determine whether or not the increase is justifiable. All costs, including indirect costs, must be actual and documented. State agencies may request funding for reviews to be completed by September 30, 2014. The funds may cover activity for the remainder of the school year 2012-2013 and activity for school year 2013-2014.

All grant funds must be obligated and all program activities under the grant (other than activities relating to the close out of the grant) must be completed by September 30, 2014. The close out of the grant must occur 90 days later, by December 31, 2014, and all obligations incurred under the grant must be liquidated by this date. The final financial and program report are due to FNS no later than December 31, 2014. Please see Section VIII below for additional reporting requirements.

**V. WHAT TO INCLUDE IN THE APPLICATION PACKAGE**

State agencies must provide the following required information with their application:

- Name and location of SFA
- Risk Factor
- Size of SFA
- Number of Staff Days associated with the review
- Number of Staff Associated with the review
- Funding Requested (maximum amount of \$3,500 per SFA unless appropriate justification is provided for amounts that exceed \$3,500)
- Targeted Start and Completion Dates

State agencies may use the template in Attachment B, *Application for Funding for Additional Administrative Reviews*, to provide this required information, or they may design another format to submit this information, as long as all mandatory information is provided.

The application package must include:

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- Application cover page identifying the title of the grant award being sought and narrative explaining how the funds are to be used;
- A completed Attachment B, or other format of choice that includes all mandatory information listed on Attachment B;
- Form SF-424, Application for Federal Assistance
- Form SF- 424A, Budget Information;
- Form SF-424B, Assurances Non-Construction Programs;
- Form SF-LLL, Disclosure of Lobbying Activities;
- If the budget requests indirect costs, the applicant must provide a copy of its most recently approved Federal indirect cost rate agreement.

All the required forms can be accessed on the following grants.gov website at [http://www.grants.gov/agencies/aforms\\_repository\\_information.jsp](http://www.grants.gov/agencies/aforms_repository_information.jsp), and the FNS website at [www.fns.usda.gov/cnd/grants.htm](http://www.fns.usda.gov/cnd/grants.htm)

## **VI. HOW TO SUBMIT AN APPLICATION FOR FUNDING**

Applicants may receive the Request for Applications (RFA) package by downloading the application from the FNS website, [www.fns.usda.gov/cnd/grants.htm](http://www.fns.usda.gov/cnd/grants.htm), or by downloading the application from the [www.grants.gov](http://www.grants.gov) website. To be considered for awards, applications must be submitted to **Grants.gov**.

Applications must be submitted to Grants.gov by **11:59 PM, Eastern Standard Time March 15, 2013**. Applications submitted after this date and time or submitted via mail service, facsimile or e-mail will NOT be considered for funding.

### **Electronic Submission**

Applicants must submit applications electronically through [www.grants.gov](http://www.grants.gov). To submit the application electronically via the [www.grants.gov](http://www.grants.gov) website, there are a number of steps in the registration process that will be required before the application may be submitted. It is very important that users of the grants.gov system familiarize themselves with the requirements for system use. Please be aware that in order to use the grants.gov system, users will need to register online at Grants.gov and obtain both a Data Universal Number (DUNS) and a Central Contractor Registry Number.

When applicants apply through [www.grants.gov](http://www.grants.gov) they will receive a confirmation notice that the application has been accepted by the system. Applicants must then send an email to notify the FNS Grant Officer at [Carla.garcia@fns.usda.gov](mailto:Carla.garcia@fns.usda.gov) that the proposal has been submitted through the [www.grants.gov](http://www.grants.gov) portal and that they have received a confirmation notice from [www.grants.gov](http://www.grants.gov) that the application has been accepted by the system. **When using the grants.gov portal to apply, we strongly recommend that you submit the online application**

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**at least two weeks before the application deadline in case there are problems with the website.**

The complete application must be uploaded on [www.grants.gov](http://www.grants.gov) by 11:59 PM, Eastern Standard Time on March 15, 2013. Applications received after the deadline date will be deemed ineligible and will not be reviewed or considered. FNS will not consider any additions or revisions to an application once it is received. ***FNS will not accept mailed, faxed, or hand-delivered applications.***

In order to submit your application via [www.grants.gov](http://www.grants.gov), you must have obtained a Data Universal Numbering System (DUNS) number and registered in both the new Systems for Award Management (SAM) and on Grants.gov. The applicant is strongly advised to allow ample time to initiate its grants.gov application submission. All applicants must have current CCR status at the time of application submission and throughout the duration of a Federal Award in accordance with 2 CFR Part 25. Please visit the following websites to obtain additional information on how to obtain a DUNS number ([www.dnb.com](http://www.dnb.com)) and register in SAM (<https://www.sam.gov/portal/public/SAM/>).

**What is SAM?**

The System for Award Management (SAM) is combining federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. This consolidation is being done in phases. The first phase of SAM incorporated the functionality from several systems, including the Central Contractor Registry (CCR).

For additional information regarding SAM see the following link:

[https://www.acquisition.gov/SAM\\_Guides/Quick%20Guide%20for%20Grants%20Registrations%20v1.pdf](https://www.acquisition.gov/SAM_Guides/Quick%20Guide%20for%20Grants%20Registrations%20v1.pdf)

Below is some additional information that should assist the applicant through this process:

**DUNS Number:** In order to obtain a DUNS number, if your organization does not have one, or if you are unsure of your organization's number you can contact Dun and Bradstreet via the internet at <http://fedgov.dnb.com/webform> or by calling 1-888-814-1435, Monday thru Friday, 8am-9pm EST. There is no fee associated with obtaining a DUNS number. Obtaining a DUNS number may take several days to obtain.

**SAM Registration:** If you were registered in the CCR, your organization's information is already in SAM and you will just need to set up a SAM account to update any information. To register in SAM you will need both your organization's DUNS and your entity's Tax ID Number (TIN) and taxpayer name (as it appears on your last tax return). Registration should take 3-5 days. **If you do not receive confirmation that your SAM registration is complete, please contact SAM at <https://www.fsd.gov/app/answers/list>.**

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Grants.gov Registration: In order to apply for a grant, your organization must have completed the above registrations as well as register on Grants.gov. The Grants.gov registration process can be accessed at [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Generally, the registration process takes between 3-5 business days.

If you are a new Grants.gov user, please ensure that your organization's Point of Contact (POC) has designated you as an Authorized Organization Representative (AOR). **If you are not designated as an AOR, you will be unable to submit your application into Grants.gov.** Allow your entity ample time to complete the necessary steps, for the submission of your grant application package, on grants.gov. **When using the grants.gov portal to apply, we strongly recommend that you submit the online application at least two weeks before the application deadline in case there are problems with the website.**

All questions regarding the application and electronic submission notification should be referred to the FNS Grant Officer, Carla Garcia via e-mail at [Carla.Garcia@fns.usda.gov](mailto:Carla.Garcia@fns.usda.gov). *Please be aware that the grants.gov system provides several confirmation notices; you need to be sure that you have confirmation that the application was accepted. . If the applicant has not received confirmation of a successful submission or needs technical assistance; please contact the Grants.gov helpline at 1-800-518-4726 or email the help desk at [support@grants.gov](mailto:support@grants.gov).*

## **VII. EVALUATION INFORMATION**

All applications that meet the deadline for submission will be screened for completeness and conformity to the requirements of this solicitation. FNS anticipates funding all eligible, complete and responsive applications.

FNS will prescreen all applications to ensure that they contain the required documents and information. Refer to Section VI, What to include in the Application Package. If an application does not include all appropriate information, FNS will consider the application to be non-responsive and will eliminate it from further evaluation. Applications that do not meet this initial screening **will not be evaluated further.**

The Government is not obligated to make any award as a result of this RFA. Only the recognized FNS authorized signature can bind the USDA, Food and Nutrition Service to the expenditure of funds related to the award's approved budget. Funding is subject to availability of Federal funds.

## **VIII. ADMINISTRATIVE REQUIREMENTS AND TERMS AND CONDITIONS**

### **Administrative Requirements**

The grant program will be awarded and administered in accordance with the following Federal and program regulations and the corresponding OMB Circulars.

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Reporting Sub-award and Executive Compensation Information 2 CFR Part 170:

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Public Law 109–282), as amended by Section 6202 of Public Law 110–252 requires primary grantees of Federal grants and cooperative agreements to report information on sub-grantee obligations and executive compensation. FFATA promotes open government by enhancing the Federal Government’s accountability for its stewardship of public resources. This is accomplished by making Government information, particularly information on Federal spending, accessible to the general public. Primary grantees, including State agencies, are required to report actions taken on or after October 1, 2010, that obligates \$25,000 or more in Federal grant funds to first- tier sub-grantees. This information must be reported in the Government-wide FFATA Sub-Award Reporting System (FSRS). In order to access FSRS a current CCR registration is required. A primary grantee and first-tier sub-grantees must also report total compensation for each of its five most highly compensated executives. Every primary and first-tier grantee must obtain a DUNS number prior to being eligible to receive a grant or sub-grant award. Additional information will be provided to grant recipients upon award.

Reporting Sub-award and Executive Compensation Information 2 CFR Part 170:

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Duncan Hunter National Defense Authorization Act of Fiscal Year 2009, Public Law 110-417 Section 872 of this Act requires the development and maintenance of a Federal Government information system that contains specific information on the integrity and performance of covered Federal agency contractors and grantees. The Federal Awardee Performance and Integrity Information System (FAPIIS) was developed to address these requirements. FAPIIS contains integrity and performance information from the Contractor Performance Assessment Reporting System, information from the CCR database, and suspension and debarment information from the EPLS. FNS will review and consider any information about the applicant reflected in FAPIIS when making a judgment about whether an applicant is qualified to receive an award.

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**Government-wide Regulations**

- CFR Part 215: (formerly OMB Circular A-21) Cost Principles for Educational Institutions;
- 2 CFR Part 225: (formerly OMB Circular A-87) Cost Principles for State and Local Governments;
- 2 CFR Part 230:(formerly OMB Circular A-122) Cost Principles for Nonprofit Organizations;
- 2 CFR Part 175: Award Terms for Trafficking in Person;
- 2 CFR Part 25: Universal Identifier and Central Contractor Registration;
- 2 CFR Part 170: Reporting Subaward and Executive Compensation;
- Title 17 Government wide Requirement for Drug-free workplace, US Code Title 41, Chapter 10, Sect 702. Drug-Free Workplace Requirements;
- 2 CFR Part 175: “Trafficking in Persons: Grants and Cooperative Agreements”;
- 2 CFR Part 180: “Government-wide Debarment and Suspension (Non-Procurement)”;
- 2 CFR Part 417: “USDA Non-procurement Debarment and Suspension.”
- All other applicable regulations.

**USDA Regulations**

- 7 CFR Part 3015: Uniform Federal Assistance Requirements implementing OMB directives (2 CFR 225, OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments, see Appendix A for link);
- 7 CFR Part 3016: Uniform Federal Assistance Requirements for Grants and Cooperative Agreements to State and Local Governments;
- 7 CFR Part 3018: Restrictions on Lobbying;
- 7 CFR Part 3021: Government-wide Requirements for Drug-Free Workplace (Financial Assistance);
- 7 CFR Part 3052: (OMB Circular A-133) Audits of States, Local Governments, and Non-Profit Organizations; and
- 7 CFR Part 15: Discrimination; Civil Rights
- All other applicable regulations.

**Confidentiality of an Application**

When an application results in an award, it becomes a part of the record of FNS transactions, available to the public upon specific request. Information that the Secretary determines to be of

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a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law. Therefore, any information that the applicant wishes to have considered as confidential, privileged, or proprietary should be clearly marked within the application. The original copy of an application that does not result in an award will not be released to the public.

**Funding:**

In addition to the administrative requirements mentioned above, the provisions below will also be a part of the agreement between FNS and the State agency.

- Funds authorized cannot be used to replace existing funding (e.g. State Administrative Expense (SAE) funds) earmarked by the State agency for administrative review, oversight and training. Funds cannot be used for local-level expenses associated with administrative reviews or training activities.
- Funds cannot be used to shift existing staff from their normal duties paid with SAE funds to support the grant activities unless the staff that are reassigned are replaced with additional staff in the positions that are vacant.
- Funds must be expended in accordance with activities outlined in the template.
- Funding for approved proposals will be provided through the Letter of Credit process in the same manner as other funds. However, State agencies will be required to separately track and report these funds via SF-425 Financial Status Report.

**Assurances and Disclosures:**

Applicants must provide assurance that they are neither suspended nor debarred prior to FNS making an award.

Applicants chosen for award will also be required to ensure that all sub-contractors and 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](http://www.epls.gov)
- b) Collecting a certification that the entity is neither excluded nor disqualified.
- c) Since a Federal certification form is no longer available, the grantee or sub-grantee electing this method must devise its own; and include 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 its grant or sub-grant.

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**\*Note:** Sub-grantees and contractors must obtain a DUNS Number and register it in the Central Contractor Register (CCR). See Section VI for additional information on DUNS and CCR.

If chosen, the applicant must also agree to make a good faith effort, on a continuing basis, to 1) maintain a drug-free workplace (including taking specific actions described at 7 CFR Sec. 3021.200 through 3021.230); and 2) identify all workplace locations where work under Federal award will be performed (7 CFR 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., and
- c) Incorporating the new rules into your sub-grantee monitoring practices.

**Reporting:**

All State agencies receiving FY 2013 Administrative Review and Training Method I Fund Grants are required to submit the following reports in accordance with the deadlines noted:

- a) **Quarterly Financial Reports.** Grantees will be required to submit quarterly (based on federal Fiscal year) SF-425 financial reports and a final SF-425 financial report electronically via the FNS “Food Programs Reporting System” (FPRS). In order to access FPRS, States are required to have USDA e-authentication to access FPRS. Further instructions regarding data entry into FPRS, reporting format and dates will be provided to those receiving awards.
- b) **Semiannual Progress Reports.** The Semiannual Progress Reports must include (**in narrative form**): 1) a brief description of the planned review activities for the report period; 2) accomplishments for each activity and completion dates; 3) a description of any deviations from the approved plan—this summary should discuss difficulties encountered and solutions developed; and 4) any other unique aspects that would be useful to share including the number and names of local educational agencies that were reviewed using the grant funds. More detailed instructions and completion dates will be provided to those receiving awards.

**IX. APPLICATION PACKAGE FORMAT AND CHECKLIST**

**Format**

FNS strongly encourages interested State agencies to adhere to the following application format. Applications should be typed on 8½ by 11 inch white paper with at least 1 inch margins on the top and bottom. All pages should be single-spaced, in 12 point font. All pages must be numbered.

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The application package must be submitted through [www.grants.gov](http://www.grants.gov) and include the following required forms:

- Application cover page identifying the title of the grant award being sought and narrative explaining how the funds are to be used;
- A completed Attachment B, or other format of choice that includes all mandatory information listed on Attachment B;
- Form SF-424, Application for Federal Assistance
- Form SF- 424A, Budget Information;
- Form SF-424B, Assurances Non-Construction Programs;
- Form SF-LLL, Disclosure of Lobbying Activities;
- If the budget requests indirect costs, the applicant must provide a copy of its most recently approved Federal indirect cost rate agreement.

**RFA Application Checklist:**

All proposals submitted under this RFA must contain the applicable elements as described in this announcement. The application must be submitted electronically through [www.grants.gov](http://www.grants.gov), by 11:59 pm EST on **March 15, 2013**. The following checklist has been prepared to assist in ensuring that the proposal is complete and in the proper order prior to submission.

- ✓ Read the RFA carefully, usually more than once.
- ✓ Have you obtained a Dun and Bradstreet Data Universal Numbering System (DUNS) number and registered the number into the Central Contractor Registration (CCR) system?
- ✓ Have you prepared and submitted the appropriate forms as shown under the Required Grant Applicant Forms section of this RFA.
- ✓ RFA CFDA # 10.579
- ✓ Have you included your contact information: telephone number, fax number, and e-mail address?
- ✓ Have you addressed, met, and considered any program specific requirements or restrictions?
- ✓ Does the proposed project proposal and budget meet the bona fide needs of the RFA?
- ✓ Is a budget summary included?
  - Does it agree with the calculations shown on the OMB budget form?
  - Is the budget in line with the project description?
- ✓ Be sure to submit a timely application into [www.grants.gov](http://www.grants.gov) in order to meet the RFA application deadline.
- ✓ FNS reserves the right to request additional information not clearly addressed.