

## **Department of Health & Human Services Administration for Children and Families**

**Program Office:** ACF -- Office of Head Start

**Funding Opportunity Title:** American Indian and Alaska Native Head Start Expansion

**Announcement Type:** Initial

**Funding Opportunity Number:** HHS-2009-ACF-OHS-CI-0097

**CFDA Number:** 93.600

**Due Date for Applications:** **06/23/2009**

### **Executive Summary:**

The Administration for Children and Families (ACF), Office of Head Start (OHS), solicits applications from existing federally funded American Indian and Alaska Native (AIAN) Head Start agencies to compete for funds that are available to provide services to unserved children and families residing in the defined Federally-approved service areas.

This expansion is primarily to increase the number of pre-school age children served in AIAN Head Start. However, AIAN grantees that currently operate an Early Head Start program may, consistent with statutory authority found at Section 640(a)(3)(A)(i)(II), apply under this announcement to expand their Early Head Start enrollment. All AIAN Grantees as well as other eligible agencies will be given an opportunity to establish new Early Head Start programs in a separate announcement.

Each grantee currently has a defined, approved service area and may apply to serve additional low-income children in that area.

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### **I. FUNDING OPPORTUNITY DESCRIPTION**

## **Statutory Authority**

The Head Start program is authorized by Title VI, Subtitle A, Chapter 8, Subchapter B, of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35 (42 USC 9831 seq.), as amended by The Improving Head Start for School Readiness Act of 2007, Public Law 110-134.

## **Description**

### **Program Background and Purpose**

The Head Start program provides grants to local public and private non-profit and for-profit agencies to provide comprehensive child development services to economically disadvantaged children and families. Head Start promotes school readiness by enhancing the social, cognitive, physical and emotional development of children through the provision of educational, health, nutritional, social and other services to enrolled children and families. Head Start programs engage parents in their children's learning and help them in making progress toward their educational, literacy and employment goals. The Head Start Program also emphasizes the significant involvement of parents in the administration of local Head Start programs. Each Head Start program must assure that not less than 10 percent of the total number of children actually enrolled by the Head Start agency and delegates will be children with disabilities, unless a waiver is approved.

Many Head Start programs provide part-day, center-based services or home-based services for eight or nine months a year. However, grantees have the option of providing full-day, full-year services and, in recent years, an increased number of grantees have been offering this option, often through collaborations with local child care providers, to help meet the child care needs of parents who are either working or in job training.

Head Start is administered by the Administration for Children and Families, one of the principal components of the U.S. Department of Health and Human Services. Since its beginning in 1965, Head Start has served more than 25 million children and their families. Head Start, in FY 2007, served 908,412 children, of whom 61,788 were served in Early Head Start programs. There are approximately 1,600 Head Start grantees, including 679 grantees providing Early Head Start services.

ACF created the American Indian and Alaska Native (AIAN) Programs Branch (Region XI) to serve federally recognized tribes, or consortia of tribes, and the children and families in their communities. AIAN

currently provides funding to 153 tribal grantees in 27 states. AIAN grantees are either tribes or corporations that have a formal treaty and sovereign status with the federal government.

American Indian and Alaska Native grantees provide comprehensive Head Start services that fully integrate the cultural practices and traditions of their community into their services. Programs are committed to the Head Start principle of integrating language and culture into their services, and many programs engage in language preservation, revitalization and maintenance efforts targeted at Native language in their Head Start programs based on decisions within each Tribe or Native communities.

AIAN grantees are often located in rural, remote locations, and programs in these areas are often affected by challenges associated with their geographic location, such as limited transportation and relatively small numbers of pre-school aged children. An Indian tribe that operates both a Head Start and Early Head Start program may reallocate funds between these programs in order to address fluctuations in client populations, including pregnant women and children from birth to compulsory school age.

### **Eligible Participants**

Head Start serves children from the age of three to the age when children enter kindergarten. Early Head Start serves pregnant women and children from birth to age three.

Children from families with incomes below the poverty line or families receiving public assistance are eligible to be enrolled in Head Start. Children in homeless families and children in foster care are also categorically eligible for Head Start. Head Start regulations further allow tribal grantees to serve up to 49 percent of enrolled Head Start children to be from families that do not meet these criteria provided that no child who does meet the criteria is denied an opportunity to participate.

Head Start also requires that a minimum of 10 percent of children actually enrolled by the Head Start agency and delegates be children with disabilities unless a waiver is granted.

### **Priority Area**

American Indian and Alaska Native Head Start Expansion

### **Description**

The Administration for Children and Families (ACF) announces the availability of \$10 million to be competitively awarded to current Head Start grantees for the purpose of expanding enrollment by approximately 1,300 low-income children and their families. This expansion is primarily to increase the number of pre-school age children served in Head Start. However, AIAN grantees that currently operate an Early Head Start program may, consistent with statutory authority found at Section 640(a)(3)(A)(i)(II), apply under this announcement to expand their Early Head Start enrollment. Future funding is dependent upon the availability of government funds.

ACF solicits applications from existing federally funded Head Start agencies to compete for funds that are available to provide services to unserved children and families residing in the defined federally approved service areas. Each grantee currently has a defined, approved service area and may apply to serve additional low-income children in that area.

This expansion provides an opportunity for Head Start programs to reach groups, communities and neighborhoods that have not been served in the past. These may include a variety of special populations of low-income families, such as homeless families or families involved in the child welfare system. In many communities there is an unmet need for Head Start among children who are in foster care and applicants may wish to consider ways in which they could serve these children. Applicants are also encouraged to propose programs designed to meet the unique needs of children whose families are homeless. All applicants must base their proposals on a careful community wide strategic planning and needs assessment. An applicant can propose to serve additional 3 year old children if the community wide assessment supports that decision.

Expansion funds are intended to increase the OHS funded enrollment of Head Start grantees as opposed to increase the hours that current enrollees are served.

Head Start regulations allow for a variety of program options and designs. Applicants should propose a design or designs that best address the needs of the service area. Applicants have flexibility in determining the appropriate number of children to be served by the various program options (center-based, family child care, home-based, or combination) and program designs (hours per day, days per week, and weeks per year).

There is no specific federal Head Start cost per child limit stipulated in this announcement. Because the cost of providing high quality services

varies among programs due to differences in community conditions, program design and the amount of non-Head Start resources that may be available from partners, it is expected that there will be considerable variation in the Federal Head Start cost per child among successful applicants. However, we plan to increase enrollment by approximately 1,300 children through this competitive process.

All proposals must meet the following conditions:

- Provide Head Start or Early Head Start services designed to fully meet the Head Start Program Performance Standards to additional eligible children.
- Be based on a community wide strategic planning and needs assessment, with particular attention paid to any new or special populations that have been unserved or underserved.
- Be derived from a collaborative planning process with local pre-kindergarten, community childcare (CCDF) and early childhood programs and providers.
- Utilize available opportunities to combine expansion funds with resources from other early childhood programs or funding streams, including State, local and private sector funding for child care, pre-kindergarten and special education services.

Applicants may apply for any portion of the funds available. However, to enable more communities and children to participate in this expansion effort, successful applicants may be funded for less than their full requests.

Given the importance of assuring that the advantages of Head Start and Early Head Start will accrue to children and families as quickly as is possible, OHS expects all applicants funded under this competition will implement a high quality Head Start or Early Head Start program as soon as possible, recognizing that the time required to do this can vary among successful applicants. Applicants will be required to submit a timeline for when children will begin to be served.

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## **II. AWARD INFORMATION**

<b>Funding Instrument Type:</b>	Grant
<b>Estimated Total Program Funding:</b>	\$10,000,000
<b>Expected Number of Awards:</b>	20

**Ceiling on Amount of Individual Awards:** \$5,000,000 per budget period

**Floor on Amount of Individual Awards:** None

**Average Projected Award Amount:** \$500,000 per budget period

**Length of Project Periods:** Other

**Explanation of Other:**

Indefinite, but changing to five years within three years of the grant award.

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### **III. ELIGIBILITY INFORMATION**

#### **1. Eligible Applicants**

Eligible applicants are limited only to current Federally-funded American Indian and Alaska Native Head Start agencies. Delegate agencies are not eligible to apply.

Foreign entities are not eligible under this announcement.

#### **2. Cost Sharing or Matching: Yes**

Grantees are required to meet a non-Federal share of the project costs, in accordance with Section 640(b) of the Head Start Act.

Grantees must provide at least 20 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF (Federal) share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. For example, in order to meet the match requirements, a project requesting \$1,000,000, in ACF (Federal) funds must provide a non-Federal share of the approved total project cost of at least \$250,000, which is 20 percent of total approved project cost of \$1,250,000. Grantees will be held accountable for commitments of non-Federal resources even if they exceed the amount of the required match.

The expansion funding is subject to the non-Federal share (match) requirements of the Head Start Act. Any applicant that believes it will not be able to provide the required match for the requested increases

should note this in its funding proposal and include a discussion of the reasons it believes it will not be able to generate all or a portion of the required match.

To receive a waiver or a reduction in the required non-Federal share, the applicant must provide ACF with written documentation of need. This request must identify which of the five waiver criteria found at Section 640(b)(1-5) of the Head Start Act it believes to be relevant. It may be submitted with the grant proposal document, or during the budget negotiation period. Approval of the waiver request cannot be assumed by the applicant without written notice from ACF. In light of the current economic crisis ACF will be receptive to reasonable arguments for such waivers.

The non-Federal match will be evaluated consistent with the criterion pertaining to Budget and Budget Justification which is found in *Section V* of this announcement.

### **3. Other:**

#### **Disqualification Factors**

Applications with requests that exceed the ceiling on the amount of individual awards referenced in *Section II*. Award Information will be deemed non-responsive and will not be considered for funding under this announcement.

Any application that fails to satisfy the deadline requirements referenced in *Section IV.3.*, Submission Dates and Times, will be deemed non-responsive and will not be considered for funding under this announcement.

Applications from all entities other than currently Federally-funded AIAN Head Start grantees will be deemed non-responsive and will not be considered for funding under this announcement.

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## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. Address to Request Application Package:**

Office of Head Start  
c/o ACYF Operations Center  
118 Q Street, NE  
Washington, DC 20002

Phone: 866-796-1591

Email: [OHS@dixongroup.com](mailto:OHS@dixongroup.com)

For hearing or speech impaired callers, contact the Federal Relay Service at 1-800-877-8339 (TTY (Text Telephone) / ASCII (American Standard Code For Information Interchange)).

## **2. Content and Form of Application Submission:**

This section provides information on the required form and content of application submissions. Applicants are required to submit one original and two copies of all application materials if applying in hard-copy. The original signature of the Authorized Organization Representative (AOR) is required only on the original. Information on the required format, Standard Forms (SFs) and other forms, D-U-N-S Requirement, Project Description, Certifications, Assurances, Electronic Submission of applications, and Hard Copy submission of applications is available in this section. A Checklist of required application elements is available for applicants' use in *Section VIII* of this announcement.

### **Application Format**

Applications must be organized according to the checklist in *Section VIII* of this announcement. The project description of the application must be double-spaced and single-sided on 8.5" x 11" plain white paper, with 1" margins on all sides. Applicants must use a 12 point font throughout the application. All sections of the application (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered, beginning on the first page after the table of contents.

The length of the narrative portion of the application must be limited to **60 pages** (including the abstract, budget and budget justification), with an additional limit of **60 pages** for all appendices and resumes. Anything over 60 pages in the narrative portion and the appendices of the application will be removed and will not be considered by the reviewers. The narrative section page length is based on double-spacing, and will be halved if single-spacing or one-and-a-half spacing is used. Numerical tables included as part of the narrative may be single-spaced.

Each application should be submitted in the following order: SF-424, SF-424A, SF-424B, Table of Contents, Project Abstract, Objectives and Need for Assistance, Approach, Organizational Capacity, and Budget and Budget Justification. Additional supporting documentation should be placed in the appendices. Assurances and Certifications may be placed after the appendices.



Each application will be duplicated. Therefore, please do not use or include colored paper, colored ink, separate covers, binders, clips, tabs, plastic inserts, over-sized paper, videotapes, or any other items that cannot be easily duplicated on a photocopy machine with an automatic feed. Do not bind, clip, staple, or fasten separate subsections of the application in any way, including the supporting documentation.

Provide a Project Summary/Abstract that is a summary of the project description (one page or less) with reference to the funding request. It should include the following information:

- The name and address of the applicant agency.
- The total number of additional children to be served, by county.
- The community where expansion is proposed. Name the towns or cities where additional children will be served. State whether the areas are within your current approved service area or a currently unserved county (or other appropriate geographic area).
- Any special populations which have historically been unserved or underserved that the applicant is proposing to serve in this expansion.
- The total ongoing Federal Head Start funds requested for a 12-month period. This amount should reflect the cost when the expansion is fully implemented and not include any one-time start-up funds that are being requested.
- The amounts and sources of any funding that will support the expansion and is in addition to the proposed Federal and non-Federal Head Start funds shown on the Standard Form 424.
- Any proposed one-time start-up Federal Head Start funding requested.
- The proposed program options. For center based, family child care or combination program option, include the class session hours per day, days per week, and days per year that children will be served. For home based and combination program option, include the number of home visits per week, month and year. For home based, include the number of socialization experiences for month and per year.
- The timeline for beginning services to new children and achieving full enrollment.

### **Additional Information**

Applicants must include documentation of Policy Council/Committee approval of the application consistent with Section 642(c) of the Head Start Act.

Applicants must submit the qualifications for board members, Executive Director, Head Start Director, and Financial Manager/Chief Financial Officer.

Applicants, including faith based organizations, are required to submit: (1) proof of legal or corporate status; (2) proof of non-profit status if a non-profit agency; (3) certification of the organization's last audit report (4) a copy of its personnel policies and procedures; (5) resumes of key staff in the organization and in the proposed Head Start program; and (6) the organization's negotiated Indirect Cost Rate Agreement. Successful applicants to whom the Indirect Cost Rate Agreement is not applicable will be asked to submit a post-award Cost Allocation Plan.

For-profit agencies must agree to waive their fee/profit.

ACF reserves the right to deny funding to any applicant that is presently designated as "high risk", probationary or not in good standing, or has been debarred or defunded by any Federal agency. ACF may elect not to fund applicants that have management or financial problems that make it unlikely the applicant would be able to provide effective Head Start services. ACF reserves the right not to fund applicants with unacceptably high Federal Head Start per child costs when other highly ranked applications are available. Additionally, ACF may decide not to fund projects that would require unreasonably large initial start-up costs for facilities or equipment or which require unreasonably large on-going funding levels relative to the number of additional children and families proposed to be served. ACF also reserves the right to consider geographic distribution, unique or emerging populations, and pockets of high poverty in funding decisions.

### **Non-Federal Reviewers**

Since ACF will be using non-Federal reviewers in the review process, applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget as well as Social Security Numbers, if otherwise required for individuals. The copies may include summary salary information.

If applicants are submitting their application electronically, ACF will omit the same specific salary rate information from copies made for use during the review and selection process.

## **Forms**

Applicants seeking financial assistance under this announcement must file the appropriate Standard Forms (SFs) as described in this section. All applicants must submit an SF-424, Application for Federal Assistance. For non-construction programs, applicants must also submit an SF-424A, Budget Information and an SF-424B, Assurances. For construction programs, applicants must also submit SF-424C, Budget Information and SF-424D, Assurances. All required Standard Forms are available at:

[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

Non-profit private organizations (not including private universities) are encouraged to submit the *"Survey on Ensuring Equal Opportunity for Applicants"* with their applications. Applicants using a hard copy application, place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. Applicants applying electronically, please submit this survey along with your application. The Survey may be found at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

## **D-U-N-S Requirement**

All applicants must have a D&B Data Universal Numbering System (D-U-N-S) number. A D-U-N-S number is required. A D-U-N-S number is required for every application for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement, and block grant programs. A D-U-N-S number may be acquired at no cost by calling the dedicated toll-free D-U-N-S number request line at 1-866-705-5711 or you may request a number online at <http://www.dnb.com>.

## **PROJECT DESCRIPTION**

### **Part I THE PROJECT DESCRIPTION OVERVIEW**

#### **PURPOSE**

The project description provides the majority of information by which an application is evaluated and ranked in competition with other applications for available assistance. The project description should be concise and complete. It should address the activity for which Federal funds are being requested. Supporting documents should be included

where they can present information clearly and succinctly. In preparing the project description, information that is responsive to each of the requested evaluation criteria must be provided. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application in a manner that is clear and complete.

## GENERAL EXPECTATIONS AND INSTRUCTIONS

ACF is particularly interested in specific project descriptions that focus on outcomes and convey strategies for achieving intended performance. Project descriptions are evaluated on the basis of substance and measurable outcomes, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant-funded activity should be placed in an appendix.

## Part II GENERAL INSTRUCTIONS FOR PREPARING A FULL PROJECT DESCRIPTION

### INTRODUCTION

Applicants that are required to submit a full project description shall prepare the project description statement in accordance with the following instructions while being aware of the specified evaluation criteria. The text options give a broad overview of what the project description should include while the evaluation criteria identify the measures that will be used to evaluate applications.

### TABLE OF CONTENTS

List the contents of the application including corresponding page numbers.

### PROJECT SUMMARY/ABSTRACT

Provide a summary of the project description (one page or less) with reference to the funding request.

### OBJECTIVES AND NEED FOR ASSISTANCE

Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation, such as letters of support and testimonials from concerned interests other than

the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the project description, the applicant may volunteer or be requested to provide information on the total range of projects currently being conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

## APPROACH

Outline a plan of action that describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors that might accelerate or decelerate the work and state your reason for taking the proposed approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the number of people to be served and the number of activities accomplished.

When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

If any data is to be collected, maintained, and/or disseminated, clearance may be required from OMB. This clearance pertains to any "collection of information that is conducted or sponsored by ACF."

Provide a list of organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

## ADDITIONAL INFORMATION

The following are requests for additional information that must be included in the application:

### ELIGIBILITY CERTIFICATION

Applicants must provide the following as certification of their eligibility under this program announcement. Please provide:

Evidence of legal status and financial viability as those terms are defined in 45 CFR 1302.2, as well as provide information about

compliance with the definition of "financial viability" as defined for purposes of this announcement. "Legal Status" means being established as a public agency or non-profit or for-profit agency under applicable State or Federal law. For the purposes of this announcement, "financial viability" means (1) having the capability to furnish the non-Federal share of the cost of operating a Head Start program and (2) demonstrating the capability to assume accountability for the fiscal management of the grant. Applicants who are currently operating a Head Start or Early Head Start program must provide proof of Policy Council approval of the application under section 642(c) of the Head Start Act.

### **Proof of Non-Profit Status**

Non-profit organizations applying for funding are required to submit proof of their non-profit status. Proof of non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code.
- A copy of a currently valid IRS tax-exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

When applying electronically proof of no-profit status may be submitted as an attachment; however, proof of non-profit status must be submitted prior to award.

### **STAFF AND POSITION DATA**

Provide a biographical sketch and job description for each key person appointed. Job descriptions for each vacant key position

should be included as well. As new key staff is appointed, biographical sketches will also be required.

#### ORGANIZATIONAL PROFILES

Provide information on the applicant organization(s) and cooperating partners, such as: organizational charts; financial statements; audit reports or statements from Certified Public Accountants/Licensed Public Accountants; Employer Identification Number(s); contact persons and telephone numbers; names of bond carriers; child care licenses and other documentation of professional accreditation; information on compliance with Federal/State/local government standards; documentation of experience in the program area; and, other pertinent information.

#### THIRD-PARTY AGREEMENTS

Provide written and signed agreements between grantees and subgrantees, or subcontractors, or other cooperating entities.

These agreements must detail the scope of work to be performed, work schedules, remuneration, and other terms and conditions that structure or define the relationship.

#### LETTERS OF SUPPORT

Provide statements from community, public, and commercial leaders that support the project proposed for funding. All submissions should be included in the application package or by the application deadline.

#### BUDGET AND BUDGET JUSTIFICATION

Provide a budget with line-item detail and detailed calculations for each budget object class identified on the Budget Information Form (SF-424A or SF-424C). Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching is a requirement, include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

#### GENERAL

Use the following guidelines for preparing the budget and budget justification. Both Federal and non-Federal resources (when required) shall be detailed and justified in the budget and budget

narrative justification. "Federal resources" refers only to the ACF grant funds for which you are applying. "Non-Federal resources" are all other non-ACF Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s); and last column, total budget. The budget justification should be in a narrative form.

#### PERSONNEL

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known at the time of application. For each staff person, provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates; etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant.

#### FRINGE BENEFITS

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc.

#### TRAVEL

Description: Costs of project-related travel by employees of the applicant organization. (This item does not include costs of consultant travel).

Justification: For each trip show: the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used; and other transportation costs and subsistence allowances. If appropriate for this project, travel costs for key staff to attend ACF-sponsored workshops should be detailed in the budget.

#### EQUIPMENT

Description: "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization



for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

#### SUPPLIES

Description: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

#### CONTRACTUAL

Description: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations, including delegate agencies and specific project(s) and/or businesses to be financed by the applicant.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Recipients and subrecipients, other than States that are required to use 45 CFR Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed at 41 USC 403(11), currently set at \$100,000.

Recipients might be required to make available to ACF pre-award review and procurement documents, such as requests for

proposals or invitations for bids, independent cost estimates, etc.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

#### CONSTRUCTION

Description: Costs of construction by applicant or contractor.

Justification: Provide a detailed budget and narrative in accordance with the instructions for other object class categories. Identify which construction activities/costs will be contractual and that the applicant will assume. Applicants proposing major renovation of facilities in which a federal interest is held must include copies of the notice of federal interest.

#### OTHER

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: insurance; food; medical and dental costs (noncontractual); professional services costs; space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

Justification: Provide computations, a narrative description and a justification for each cost under this category.

#### INDIRECT CHARGES

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost

proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

#### PROGRAM INCOME

Description: The estimated amount of income, if any, expected to be generated from this project.

Justification: Describe the nature, source and anticipated use of program income in the budget or refer to the pages in the application that contain this information.

#### NON-FEDERAL RESOURCES

Description: Amounts of non-Federal resources that will be used to support the project as identified in Block 18 of the SF-424.

Justification: The firm commitment of these resources must be documented and submitted with the application so that the applicant is given credit in the review process. A detailed budget must be prepared for each funding source.

(As required by the **Paperwork Reduction Act of 1995, P.L. 104-13**, the public reporting burden for the Project Description is estimated to average 40 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection information. The Project Description information collection is approved under OMB control number 0970-0139, which expires 4/30/2010. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.)

#### Certifications

Applicants must furnish, prior to award, an executed copy of the Certification Regarding Lobbying. Applicants must sign and return the certification with their application. If any 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 commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit Standard Form (SF)-LLL, "Disclosure Form to Report Lobbying," in

accordance with its instructions. The Certification Regarding Lobbying may be found at:

[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

When required for programs that involve human subjects, the Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption form must be submitted. All forms may be reproduced for use in submitting applications. Applicants must sign and return the appropriate standard forms with their application. The Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption (Common Rule) form may be found at:

[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

### **Assurances**

By signing and submitting the application, applicants are making the appropriate certification of their compliance with all Federal statutes relating to nondiscrimination.

The Pro-Children Act of 1994, 20 U.S.C. 7183, imposes restrictions on smoking in facilities where federally funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity. Additional information may be found in the HHS Grants Policy Statement at:

[http://www.acf.hhs.gov/grants/grants\\_related.html](http://www.acf.hhs.gov/grants/grants_related.html).

### **Electronic Submission**

Applicants to ACF may submit their applications in either electronic or paper (hard copy) format. To submit an application electronically, applicants must use the <http://www.Grants.gov> site. ACF will not accept applications via facsimile or email.

**IMPORTANT NOTE:** Before submitting an application electronically, applicants must complete the organization registration process as well as obtain and register "electronic signature credentials" for the Authorized Organization Representative (AOR). Applicants also must be registered in the Central Contractor Registry (CCR). **CCR registration must be updated annually. Applicants will not be able to upload an application to Grants.gov without current CCR registration and electronic signature credentials for the AOR. This process may take more than five business days, so it is important to start this process early, well in advance of the application deadline.**

**Be sure to complete all Grants.gov registration processes listed on the Organization Registration Checklist** at [http://www.acf.hhs.gov/grants/registration\\_checklist.html](http://www.acf.hhs.gov/grants/registration_checklist.html).

Applicants will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site.

If planning to submit an application electronically via <http://www.Grants.gov>:

- **It is strongly recommended that applicants do not wait until the application due date to begin the application process through Grants.gov.** Applicants are encouraged to submit their applications well before the closing date and time so that, if difficulties are encountered, there will still be sufficient time to submit a hard copy via express mail.
- **In order to address any difficulties that may be encountered during the submission process, it may be to an applicant's advantage to submit their applications 24 hours ahead of the closing date and time.**
- Applicants are encouraged to check the Grants.gov webpage for announcements concerning system issues and updates that may affect the submission of applications.
- Checklists and registration brochures are maintained at the Grants.gov website to assist applicants in the registration

process and may be found at:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)

- If any difficulties are encountered in using Grants.gov, contact the Grants.gov Contact Center at: 1-800-518-4726, or by email at [support@grants.gov](mailto:support@grants.gov), to report the problem and obtain assistance. **Remember to retain your service ticket number for reference whenever you have any interaction with the Grants.gov Contact Center.**
- Electronic submission is voluntary, but strongly encouraged. Applicants will not receive additional point value for submitting an application in electronic format, nor will ACF penalize any applicant that submits an application in hard copy.
- Applicants may access the electronic application and downloadable application package for this program announcement by using the FIND function at <http://www.Grants.gov>.
- Applicants may submit all required documents electronically, including all information typically included on the SF-424s, narratives, charts, etc.
- Electronic formats for the application attachments, such as narratives, charts, etc., should use standard software formats, e.g., Microsoft (Word and Excel), Word Perfect, Adobe PDF, JPEG, and GIF, etc...
- Though applying electronically, the application must still comply with any page limitation requirements described in this program announcement.
- When submitting an application via Grants.gov, applicants must comply with all due dates **AND** times referenced in *Section IV.3. Submission Dates and Times* of this program announcement.
- Applicants that must demonstrate proof of non-profit status may submit proof at the time of application by attaching the documentation to the electronic application, if they wish to do so. Proof of non-profit status, and any other required documentation, may be scanned and attached as an "Other Attachment." Assurances, certifications, and/or proof of non-profit status that are not submitted electronically at the time of application, are required to be submitted to ACF by the time of award and in hard copy. Acceptable types of proof of non-profit status are stated earlier in this section of the program announcement under "Eligibility Certification."

- It is **strongly recommended** that the applicant retain a printed hard copy of the application in case a hard copy must be submitted to ACF.

After the application is submitted electronically, the applicant will receive two emails from Grants.gov:

- An automatic acknowledgement of the application's submission that will provide a Grants.gov tracking number.
- An acknowledgement that the submitted application package has passed or failed a series of checks and validations.

ACF will retrieve the electronically submitted application from Grants.gov. Applicants will receive an email notification from ACF acknowledging that ACF has received the application.

ACF may request that the applicant provide original signatures on forms at a later date.

The Grants.gov website complies with Section 508 of the Rehabilitation Act of 1973. Grants.gov webpages are designed to work with assistive technologies such as screen readers. If an applicant uses assistive technology and is unable to access any material on the site, contact the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) for assistance.

### **Hard Copy Submission of Applications**

Applicants that are submitting their application in paper format should submit one original and two copies of the complete application with all attachments, unless directed otherwise. The original and each of the two copies must include all required forms, certifications, assurances, and appendices, be signed by the Authorized Organization Representative (AOR), and be unbound. The original copy of the application must have original signature(s). See *Section IV.6* of this announcement for address information for application submissions.

Please refer to *Section VIII* for a checklist of application requirements, their location and due dates that applicants may use in developing and organizing application materials.

Please refer to *Section IV.3* for details concerning acknowledgement of received applications.

### **3. Submission Dates and Times:**

**Due Date for Applications: 06/23/2009**

## **Explanation of Due Dates**

The due date for receipt of applications is referenced above. Applications received after 4:30 p.m., eastern time, on the due date will be classified as late and will not be considered in the current competition.

Applicants are responsible for ensuring that applications are mailed or hand-delivered or submitted electronically well in advance of the application due date and time.

## **Mail**

Applications that are submitted by mail must be received no later than 4:30 p.m., eastern time, on the due date referenced above at the address listed in *Section IV.6*.

## **Hand Delivery**

Applications hand carried by applicants, applicant couriers, other representatives of the applicant, or by overnight/express mail couriers must be received on or before the due date referenced above, between the hours of 8:00 a.m. and 4:30 p.m., eastern time, at the address referenced in *Section IV.6*, between Monday and Friday (excluding Federal holidays).

## **Electronic Submission**

Applications submitted electronically must be submitted no later than 4:30 p.m., eastern time, on the date referenced above.

ACF cannot accommodate transmission of applications by facsimile.

## **Late Applications**

Applications that do not meet the requirements above are considered late applications. ACF shall notify each late applicant that its application will not be considered in the current competition.

**ANY APPLICATION RECEIVED AFTER 4:30 P.M., EASTERN TIME, ON THE DUE DATE WILL NOT BE CONSIDERED FOR COMPETITION.**

## **Extension of Deadlines**

ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur; when there are widespread disruptions of mail service; or in other rare cases. A



determination to extend or waive deadline requirements rests with the Chief Grants Management Officer.

### **Acknowledgement of Received Application**

ACF will provide acknowledgement of receipt of hard copy application packages submitted via mail, courier services, or by hand delivery. Applicants who submit their application packages electronically via <http://www.Grants.gov> will receive two email acknowledgements from that website:

- An automatic acknowledgement of the application's submission that will provide a Grants.gov tracking number.
- An acknowledgement that the submitted application package has passed or failed a series of checks and validations.

### **Intergovernmental Review of Federal Programs:**

#### **State Single Point of Contact (SPOC)**

This program is covered under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities". Under the Executive Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

Applicants should go to the following URL for the official list of the jurisdictions that have elected to participate in E.O. 12372  
[http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/).

Applicants from participating jurisdictions should contact their SPOC, as soon as possible, to alert them of their prospective applications and to receive instructions on their jurisdiction's procedures. Applicants must submit all required application materials to the SPOC and indicate the date of submission on the Standard Form (SF) 424 at item 19.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application due date to comment on proposed new awards.

SPOC comments may be submitted directly to ACF to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade SW., 6th Floor East, Washington, DC 20447.

Entities that meet the eligibility requirements of this announcement are still eligible to apply for a grant even if a State, Territory or Commonwealth, etc., does not have a SPOC or has chosen not to participate in the process. Applicants from non-participating jurisdictions need take no action with regard to E.O.

12372. Applications from Federally-recognized Indian Tribal governments are not subject to E.O. 12372.

## **5. Funding Restrictions:**

Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable under this grant award.

Grant awards will not allow reimbursement of pre-award costs.

## **6. Other Submission Requirements:**

Submit applications to one of the following addresses:

### **Submission by Mail**

Office of Head Start  
c/o ACYF Operations Center  
118 Q Street, NE  
Washington, DC 20002

### **Hand Delivery**

Office of Head Start  
c/o ACYF Operations Center  
118 Q Street, NE  
Washington, DC 20002

For all submissions, see *Section IV.3* for information on due dates.

### **Electronic Submission**

See Section IV.2 for application requirements and for guidance when submitting applications electronically via <http://www.Grants.gov>.

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## **V. APPLICATION REVIEW INFORMATION**

### **1. CRITERIA:**

The corresponding score values indicate the relative importance that ACF places on each evaluation criterion; applicants should develop

their applications precisely according to the order presented. Application components may be organized such that a reviewer will be able to follow a seamless and logical flow of information (i.e., from a broad overview of the project to more detailed information about how it will be conducted).

### **OBJECTIVES AND NEED FOR ASSISTANCE - 30 points**

The applications must identify the geographic location it is currently approved to serve, or in cases of unserved areas, that it proposes to serve. The applicant must define the area(s) of greatest need and show how it will direct Head Start resources to these areas.

The following factors will be used to assist in the review and evaluation of applicants under this criterion:

- The extent to which the application provides current data that shows unserved young children and families in poverty.
- The extent to which the application shows the need within the communities for expanded services, including any special unserved or underserved populations or groups.
- The extent to which the applicant demonstrates that services will be provided to those families and children who have the most urgent need for Head Start services.
- The extent to which the applicant demonstrates its plan to meet the needs for child development services for Head Start eligible children and families, including the estimated number of eligible children by geographic location, the needs of children with disabilities including procedures to identify such children, the needs of children from families speaking languages other than English, the needs of homeless children including their transportation needs and the needs of children in foster care. Include data regarding the education, health, nutrition, social, child care and other service needs of the proposed children and families. Early Head Start applicants must also demonstrate how the needs of pregnant women will be met.
- The extent to which the application provides a solid analysis of funding, services, and capacities of other childcare (including CCDF) and early childhood programs and providers serving low-income children and a convincing rationale for the proposed expansion strategy in light of what other organizations are doing.

- The extent to which the application provides convincing evidence of the involvement and support of other organizations serving low-income families in assessing family and community needs and resources, developing proposed plans and strategies, and in active partnerships to implement the proposed expansion.
- The extent to which the applicant provides evidence of community support. Applicants should describe the process for involvement of service providers, public or private entities, and other members of the community in determining the need for services in the geographic locations proposed by the applicant. The applicant should include evidence of plans to collaborate with public or private entities providing early childhood education and development programs, and services for young children in the proposed service area.

#### **APPROACH - 35 points**

The applicant must describe the design and approach of the proposed program and how it will meet the needs of the population it plans to serve. Program services must meet the Head Start Program Performance Standards and other regulations and the provisions of the Head Start Act.

The following factors will be used to assist in the review and evaluation of applicants for AIAN Head Start expansion under this criterion:

- The extent to which the application includes a detailed, well-organized, and credible plan of action to carry out the proposed expansion of Head Start services, including plans for recruitment and selection of those children determined to be most in need of Head Start services, arrangements for transportation and facilities and plans for start-up of the new services.
- The extent to which the applicant demonstrates that the proposed program will provide comprehensive, high quality educational, health, mental health, nutritional, social and other services to children and their families, that prepare children to succeed in school.
- The extent to which the application includes clear plans and a demonstrated commitment to implement the Head Start Program Performance Standards, including involvement of parents and families in program design and decision making.
- The extent to which the application provides sound, cost-effective staffing, organizational and management strategies, including governing body, policy council, and staff training and

development to ensure that the expansion provides high quality and responsive services.

- A discussion of start-up plans and a timetable to implement the increased enrollment in a carefully planned but timely and efficient manner. Describe how the program will obtain or upgrade classroom space and other facilities as required by applicable, State, Tribal or local licensing standards, recruit and train new staff or community-based providers, arrange for adequate transportation, and recruit, select and enroll eligible children and families.
- The extent to which the applicant proposes to serve eligible children with curricula and teaching practices that are based on scientifically valid research, that are developmentally appropriate, and that promote the school readiness of participating children.
- The extent to which the applicant describes how children and families will be recruited and selected for the program to ensure that services will be provided to those who have the most serious need for Head Start services. Describe procedures to ensure that services will be provided to individuals who have the most serious need for Head Start services, including children with disabilities, children in foster care and homeless children.
- The plan of the applicant to meet the needs of limited English proficient children and their families, including procedures to identify such children, plans to provide trained personnel, and plans to provide services to assist the children in making progress toward the acquisition of the English language, while making meaningful progress in attaining the knowledge, skills, abilities, and development described in Section 641A(a)(1)(B) of the Head Start Act.
- The extent to which the applicant justifies the program option or options most appropriate for the communities in which it proposes to provide services (e.g., part or full day center-based, home-based, family child care or combination option). The applicant should specify the minimum number of class sessions, home visits or socialization experiences that will be provided per week, month and year.
- The extent to which the applicant proposes to maintain child-to-teacher ratios and family service worker caseloads that reflect best practices and are tied to high-quality service delivery.

- A description of strategies for delivering high quality services to children and family members, as defined by the Head Start Program Performance Standards, including the involvement of parents and other community members and organizations in the program strategy. Describe any proposed modifications or improvements in current program practices.
- The extent to which the applicant proposes to meet the program governance requirements established in Section 642 (c) of the Head Start Act.
- The extent to which the applicant proposes a plan to facilitate the involvement of parents (including grandparents and kinship caregivers, as appropriate) of children participating in the proposed Head Start program, in activities (at home and, if practicable, at the location of the Head Start program) designed to help such parents become full partners in the education of their children, including the development and overall conduct of the program, and transportation assistance, as appropriate.
- The extent to which the applicant proposes a plan to offer (directly or through referral to local entities, such as entities carrying out Even Start programs under Subpart 3 of Part B of Title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6381 et seq.), public and school libraries, and entities carrying out family support programs) to such parents family literacy services and parenting skills training.
- The extent to which the applicant proposes a plan to offer to parents of participating children substance abuse counseling (either directly or through referral to local entities), if needed, including information on the effect of drug exposure on infants and fetal alcohol syndrome.
- The extent to which the applicant proposes a plan to extend outreach to fathers (including father figures) in order to strengthen their role in families, the education of their children, and in the Head Start program.
- The extent to which the applicant proposes to coordinate with public and private entities that are willing to commit resources to assist the Head Start program in providing high quality child health and developmental services and program management services. Such partnerships must include a plan to coordinate the proposed Head Start program with other child care (CCDF) and preschool programs, State pre-kindergarten programs, programs under Part C and Section 619 of the Individuals with

Disabilities Education Act (IDEA), with the educational programs that children to be served will enter upon leaving Head Start, and grant agreements under the Early Reading First and Even Start programs under Subparts 2 and 3 of Part B of Title I of the Elementary and Secondary Education Act of 1965 as appropriate. The applicant should also describe efforts to coordinate transition efforts with any existing Early Head Start grantee if appropriate.

- The applicant should describe how the program will ensure that not less than 10 percent of the total number of children actually enrolled will be children with disabilities as defined by IDEA.
- The extent to which the applicant describes the proposed organizational structure that supports the accomplishment of program objectives and will assure high quality services. Applicant should discuss the following: assignment of key management functions; assignment of content area expertise; the organization's supervisory structure, including support staff.
- The extent to which the applicant demonstrates the existence of management systems for program planning, internal and external communication, recordkeeping, issuance of internal and external reports and program self assessment and monitoring for each program option proposed.

The following factors will be used to assist in the review and evaluation of applicants for Early Head Start expansion under this criterion:

- The extent to which the applicant demonstrates the proposed program will provide early, continuous, intensive, comprehensive and high quality educational, health, mental health, nutritional, social and family support services to infants, toddlers, pregnant women and their families.
- The extent to which the applicant demonstrates that the proposed program will promote positive parent-child interaction.
- The plan of the applicant to meet the needs of children with disabilities and their families, including procedures to identify such children, and plans to coordinate with programs providing services as described in Section 645A(b)(11) of the Head Start Act.
- The extent to which the applicant proposes a plan to facilitate the involvement of parents (including grandparents and kinship caregivers, and non-English speaking parents, as appropriate) of children participating in the proposed Early Head Start program designed to help such parents fulfill their roles as parents,

including the development and overall conduct of the program, and transportation assistance, as appropriate.

- The extent to which the applicant proposes a plan to extend outreach to fathers (including father figures) in order to strengthen their role in families, the education of their children, and in the program.
- The extent to which the applicant ensures formal linkages with providers of early intervention services for infants and toddlers with disabilities under the Individuals with Disabilities Education Act (IDEA), with the State interagency coordinating council, as established in part C of IDEA and with the agency responsible for administering section 106 of the Child Abuse Prevention and Treatment Act.
- The extent to which the applicant proposes to coordinate services provided by programs in the state and community (including home-based services, programs for infants and toddlers with disabilities, programs for homeless infants and toddlers) to ensure a comprehensive array of services, such as health, mental health and family support services.
- The extent to which the applicant proposes to ensure formal linkages with local Head Start programs in order to provide for continuity of services for children and families.
- The extent to which the applicant develops and implements a systematic procedure, including established channels of communication, for transitioning children and parents including pregnant women, the process for how the programs will deliver services to include the newborn, and transition the newborn into EHS services at the appropriate time; how the program will support transition from EHS to Head Start or other community based programs and; how the program will support transitions within Early Head Start program, which might include a child moving from one program option another, adjusting to staff turnover, or moving from one classroom to the next.
- The extent to which an applicant that provides both Early Head Start and Head Start services ensures that children and families participating in EHS have the opportunity to receive Head Start services through the age of mandatory school attendance.
- The extent to which the applicant describes its proposed transportation arrangements to ensure that families and children are able to access needed services.

**ORGANIZATIONAL CAPACITY - 15 points**



This section measures the capabilities of the applicant to implement and sustain its plan for expansion. The following factors will be used to evaluate this criterion:

- The extent to which the applicant is proposing to employ high quality, well trained staff who will meet the qualification requirements required by Section 648a of the Head Start Act.
- The extent to which the applicant presents an organizational structure and clear lines of responsibility that will support the proposed expansion in an effective and timely manner.
- The extent of the demonstrated capacity of the applicant organization, key leaders and managers and, where appropriate, proposed partnering organizations in providing high quality, responsive services to young children and families, including evidence of the capability to meet the Head Start Program Performance Standards.
- The extent to which the applicant demonstrates the fiscal capacity to operate a Head Start program and ability to exercise sound financial management.
- The extent to which the applicant demonstrates the ability to provide timely and efficient implementation of all program components and services, including planning during the transition period, the availability of classroom space which meets required standards, the ability to provide necessary transportation and the ability to recruit eligible children and families. All applications must include an implementation timetable that expressly states when new children will begin receiving services.

#### **BUDGET AND BUDGET JUSTIFICATION - 20 points**

This section will evaluate the extent to which the project's costs are appropriate and reasonable in view of the activities to be carried out and the anticipated outcomes. The following factors will be used to assist in the review and evaluation of applications under this criterion:

- The extent to which funds are budgeted to provide all required comprehensive Head Start services to eligible children and families in a cost-effective manner as indicated in the application narrative.
- The extent to which the applicant proposes combining Head Start resources with other early childhood funding sources including non-federal share, and has systems to track, manage,

and account for multiple funding streams, and can allocate costs to different funding sources in accordance with cost allocation principles.

- The proposed budget of the applicant and plan of the applicant to maintain strong fiscal controls and cost effective fiscal management and to comply with 45 CFR Parts 74 and 92.
- The extent to which the applicant provides evidence that the on-going and start-up costs are justified. Start-up costs include ensuring that proposed facilities comply with State and local requirements and are adequately equipped, both indoors and outdoors. Where facilities are not available, a plan to acquire them should be presented in accordance with the requirements for the purchase, construction, and major renovation of facilities described in Section 644(f) and (g) of the Head Start Act and 45 CFR Part 1309. Current grantees proposing major renovation of facilities in which federal interest is held must include copies of the notices of federal interest.

## **2. Review and Selection Process:**

No grant award will be made under this announcement on the basis of an incomplete application.

**Initial ACF Screening:** Each application will be screened to determine whether it was received by the closing date and time and whether the requested amount exceeds the stated ceiling. Late applications or those exceeding the funding limit will be returned to the applicants with a notation that they were unacceptable and will not be reviewed.

Applications will be reviewed against the evaluation criteria described in *Section V* of this announcement. The review will be conducted by one or more panels of reviewers who are knowledgeable about Head Start programs and early childhood development. Each panel is composed of three reviewers and one chair.

The results of the competitive review will be taken into consideration by ACF in deciding the project to be funded but are not in themselves binding. The responsible HHS official will consider other relevant factors, some of which are described below, in making the final decision.

ACF may elect not to fund applicants who have management or financial problems that make it unlikely that the applicant would be able to provide effective Head Start services. Also, ACF may decide not to fund projects with what it regards as unreasonably large initial

start-up costs for facilities or equipment, or projects with unreasonably high operating costs.

For-profit agencies which wish to apply for Head Start funding should be aware that there are regulatory and statutory provisions that relate specifically to them. The most important of the regulations is at 45 CFR Part 74, Subpart E "Special Provisions for Awards to Commercial Organizations," which states that "no HHS funds may be paid as profit to any recipient." As a result, applications from for-profit, nonprofit, and public agencies will be reviewed in the same manner.

Applications may be funded in whole or in part. Successful applicants will be notified through the issuance of a Financial Assistance Award which sets forth the amount of funds awarded, the terms and conditions of the grant, the budget period for which support is given, the non-federal share to be provided, and the total period for which support is provided.

ACF reserves the right to consider unique populations, geographic distribution and pockets of poverty in funding decisions.

Please refer to *Section IV.2* of this announcement for information on non-Federal reviewers in the review process.

### **Approved but Unfunded Applications**

Applications that are approved but unfunded may be held over for funding in the next funding cycle, pending the availability of funds, for a period not to exceed one year.

### **3. Anticipated Announcement and Award Dates:**

Not Applicable.

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## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. Award Notices:**

Successful applicants will be notified through the issuance of a Notice of Award (NoA) document that sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided (if applicable), and the total project period for which support is contemplated. The NoA will be signed by the Grants Officer and transmitted via postal mail.

Following the finalization of funding decisions, organizations whose applications will not be funded will be notified by letter, signed by the Program Office head.

## **2. Administrative and National Policy Requirements:**

Grantees are subject to the administrative requirements in 45 CFR Part 74 (for non-governmental entities) or 45 CFR Part 92 (for governmental entities).

Direct Federal grants, sub-award funds, or contracts under this ACF program shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under this program. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which includes the prohibition against Federal funding of inherently religious activities, can be found at the HHS web site at: <http://www.hhs.gov/fbci/waisgate21.pdf>.

A faith-based organization receiving HHS funds retains its independence from Federal, State, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs. For example, a faith-based organization may use space in its facilities to provide secular programs or services funded with Federal funds without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization that receives Federal funds retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents in accordance with all program requirements, statutes, and other applicable requirements governing the conduct of HHS funded activities.

Additional information on "Understanding the Regulations Related to the Faith-Based and Community Initiative" can be found at: <http://www.hhs.gov/fbci/regulations/index.html>.

### **HHS Grants Policy Statement**

The HHS Grants Policy Statement (GPS) is the Department of Health and Human Services new single policy guide for discretionary grants and cooperative agreements. Unlike previous HHS policy documents, the GPS is intended to be shared with and used by grantees. It became effective October 1, 2006 and is applicable to all Operating

Divisions (OPDIVS), such as the Administration for Children and Families (ACF), except the National Institutes of Health (NIH). The GPS covers basic grants processes, standard terms and conditions, and points of contact, as well as important OPDIV-specific requirements. Appendices include a glossary of terms and a list of standard abbreviations for ease of reference. The GPS may be accessed at [http://www.acf.hhs.gov/grants/grants\\_related.html](http://www.acf.hhs.gov/grants/grants_related.html).

**The regulations relevant to Head Start are:**

- 45 CFR Part 1301, Head Start Grant Administration
- 45 CFR Part 1302, Policies and Procedures for Selection, Initial Funding and Refunding of Head Start Grantees, and for Selection of Replacement Grantees
- 45 CFR Part 1303, Appeal Procedures for Head Start Grantees and Current or Prospective Delegate Agencies
- 45 CFR Part 1304, Program Performance Standards for the Operation of Head Start Programs by Grantees and Delegate Agencies
- 45 CFR Part 1305, Eligibility, Recruitment, Selection, Enrollment and Attendance in Head Start
- 45 CFR Part 1306, Head Start Staffing Requirements and Program Options
- 45 CFR Part 1308, Head Start Program Performance Standards on Services for Children with Disabilities
- 45 CFR Part 1309, Head Start Facilities Purchase, Major Renovation & Construction
- 45 CFR Part 1310, Head Start Transportation
- And all applicable grant regulations

Copies of the current applicable Head Start regulations are available at the websites identified at the end of this announcement. In addition, copies of Office of Management and Budget (OMB) Circulars that apply to Head Start grantees can be found at:

[http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html)

**3. Reporting Requirements:**

Grantees will be required to submit performance progress and financial reports periodically throughout the project period. Frequency of reporting is listed later in this section.

Beginning with FY 2009 awards, most ACF grantees will begin using the Standard Form (SF) for required performance progress reporting (PPR). The SF-PPR is a standard government-wide performance progress reporting format consisting of a series of forms implemented by Federal agencies to collect performance information from award recipients. Most ACF grantees will begin using the standard format implemented through ACF's Office of Grants Management (OGM), entitled the "ACF-OGM-SF-PPR." Use of the ACF-OGM-SF-PPR will begin for new awards and continuation awards made by ACF in FY 2009. At a minimum, grantees will be required to submit the ACF-OGM-SF-PPR, which consists of the ACF-OGM-SF-PPR Coversheet and the ACF-OGM-SF-PPR Appendix B Program Indicators.

ACF Programs that utilize other SF-PPR reporting formats, or other reporting forms or formats that differ from the new ACF-OGM-SF-PPR, have listed those forms or formats below. Grant award documents will inform grantees of the appropriate performance progress report form or format to use beginning in FY 2009.

Grantees will continue to use the Financial Status Report (FSR) SF-269 (long form) for required financial reporting.

The SF-269 (long form) and the ACF-OGM-SF-PPR may be found at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees should consult their award documents to determine the appropriate performance progress report format required under their award.

Performance progress and financial reports are due 30 days after the end of the reporting period. Final program performance and financial reports are due 90 days after the close of the project period.

Final reports may be submitted in hard copy to the Grants Management Office Contact listed in *Section VII*. of this announcement.

Program Progress Reports: Semi-Annually  
Financial Reports: Semi-Annually

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## **VII. AGENCY CONTACTS**

### **Program Office Contact:**

Colleen Rathgeb  
Office of Head Start  
c/o ACYF Operations Center  
118 Q Street, NE

Washington, DC 20002  
Phone: 866-796-1591  
Email: [OHS@dixongroup.com](mailto:OHS@dixongroup.com)

For hearing or speech impaired callers, contact the Federal Relay Service at 1-800-877-8339 (TTY (Text Telephone) / ASCII (American Standard Code For Information Interchange)).

### **Grants Management Office Contact:**

David Kadan  
ACF Grants Management Officer  
Administration for Children and Families  
Division of Discretionary Grants  
370 L'Enfant Promenade, SW  
Aerospace/6th Floor East  
Washington, DC 20447  
Phone: 202-205-8562  
Fax: 202-205-3449  
Email: [ACFOGME-Grants@acf.hhs.gov](mailto:ACFOGME-Grants@acf.hhs.gov)

For hearing or speech impaired callers, contact the Federal Relay Service at 1-800-877-8339 (TTY (Text Telephone) / ASCII (American Standard Code For Information Interchange)).

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## **VIII. OTHER INFORMATION**

### **Checklist**

You may use the checklist below as a guide when preparing your application package.

<b>What to Submit</b>	<b>Where Found</b>	<b>When to Submit</b>
SF-424	Referenced in Section IV.2 under "Forms" and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	By application due date found in Overview and Section IV.3.
SF-424A	Referenced in Section IV.2 under "Forms" and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	By application due date found in

		Overview and Section IV.3.
SF-424B	Referenced in Section IV.2 under "Forms" and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	By application due date found in Overview and Section IV.3.
SF-424C	Referenced in Section IV.2 under "Forms" and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	By application due date found in Overview and Section IV.3.
Table of Contents	Referenced in Section IV.2 of the announcement.	By application due date found in Overview and Section IV.3.
Project Summary/Abstract	Referenced in Section IV.2 of the announcement.	By application due date found in Overview and Section IV.3.
Project Description	Referenced in Section IV.2 of the announcement.	By application due date found in Overview and Section IV.3.
Budget and Budget Justification	Referenced in Section IV.2 of the announcement.	By application due date found in Overview and Section



		IV.3.
Documentation and explanation regarding being local within the community for those grantees proposing to serve an unserved area.	Referenced in Section V.2	By application due date found in Overview and Section IV.3.
Resumes of Key Staff in the organization and proposed Head Start program.	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
Proof of existing Policy Council approval of application.	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
Proof of legal or corporate status.	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
Proof of non-Profit Status (for non-profit organizations)	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
Certification of the organization's last audit report or other similar evidence of financial capability.	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
This program is	Applicants should go to the following URL for the	By

covered under E.O. 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and activities". Applicants must submit all required application materials to the State Single Point of Contact (SPOC) and indicate the date of submission on the Standard Form (SF) 424 at item 19.	official list of the jurisdictions that have elected to participate in E.O. 12372 <a href="http://www.whitehouse.gov/omb/grants/spoc.html">http://www.whitehouse.gov/omb/grants/spoc.html</a> as indicated in Section IV.4 of this announcement.	application due date found in Overview and Section IV.3.
A copy of the applicant's personnel policies and procedures.	Referenced in Section IV.2	By application due date found in Overview and Section IV.3.
Indirect Cost Rate Agreement	Referenced in Section IV.2	By application due date found in
Third-Party Agreements	Referenced in Section IV.2 of the announcement under "Project Description."	By application due date found in Overview and Section IV.3.
Letters of Support	Referenced in Section IV.2 of the announcement under "Project Description."	By application due date found in Overview and Section IV.3.
Certification Regarding	Referenced in Section IV.2 of the announcement under "Certifications" and found at	By date of

Lobbying	<a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	award.
Certification Regarding Environmental Tobacco Smoke.	Referenced in Section IV.2 and <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>	By date of award.

**Date: May 5, 2009**

Patricia E. Brown  
Acting Director  
Office of Head Start

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#### **Attachment - References**

- Application For Federal Assistance (SF-424 package which includes SF-424 (Application for Federal Assistance), SF-424A (Budget Information - Non-Construction Programs) and SF-424B (Assurances - Non-Construction Programs))  
[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html)
- The Head Start Act as amended by The Improving Head Start for School Readiness Act of 2007, (P.L. 110-134)  
<http://www.acf.hhs.gov/programs/ohs>
- Head Start Regulations (45 CFR Parts1301-1311)  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_07/45cfrv4\\_07.html#1301](http://www.access.gpo.gov/nara/cfr/waisidx_07/45cfrv4_07.html#1301)
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions  
[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html)
- Certification Regarding Lobbying  
[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html)
- Certification Regarding Drug-Free Workplace Requirements  
[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html)

- The Smoking Prohibition included with P.L. 103-277, The Pro-Children's Act of 1994.

<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>

- HHS Poverty Guidelines for 2009

<http://aspe.hhs.gov/poverty/09fedreg.pdf>

- 45 CFR Part 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

[http://www.access.gpo.gov/nara/cfr/waisidx\\_07/45cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/45cfrv1_07.html)

- 45 CFR Part 74, Administration of Grants

[http://www.access.gpo.gov/nara/cfr/waisidx\\_07/45cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/45cfrv1_07.html)