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THE FOOD AND NUTRITION SERVICE
NATIONAL SCHOOL LUNCH PROGRAM
FISCAL YEAR 2011
REQUEST FOR APPLICATIONS
ADMINISTRATIVE REVIEWS AND TRAINING GRANTS
METHOD II - TRAINING AND OVERSIGHT GRANTS

*States are required to use this solicitation to apply for the
Administrative Reviews and Training Grants Method II: Training and
Oversight Grants.*

APPLICATION DUE DATE: MAY 10, 2011

Catalog of Federal Domestic Assistance Number (CFDA number 10.579)

**National School Lunch Program
Fiscal Year 2011
Request for Applications for Administrative Reviews and Training Grants
Method II - Training and Oversight Grants**

Table of Contents

I.	INTRODUCTION	3
II.	PURPOSE OF GRANT FUNDING	4
III.	AUTHORITY	5
IV.	ART METHOD II GRANT TYPES.....	5
A.	Planning Grants	5
B.	Implementation Grants.....	6
V.	WHO MAY APPLY?	7
VI.	CRITICAL DATES AND AWARD PERIODS.....	7
A.	Critical Dates.....	7
B.	Award Periods	7
VII.	HOW TO SUBMIT AN APPLICATION FOR FUNDING.....	7
VIII.	WHAT TO INCLUDE IN THE APPLICATION PACKAGE.....	8
A.	Planning Grant Applications	8
B.	Implementation Grant Applications	10
IX.	APPLICATION FORMAT.....	11
X.	APPLICATION REVIEW AND GRANT AWARD PROCESS.....	12
A.	Initial Screening	12
B.	Panel Review.....	12
C.	Selection.....	15
XI.	ADMINISTRATIVE REQUIREMENTS AND TERMS AND CONDITIONS	15
A.	Administrative Requirements.....	15
B.	Funding.....	16
C.	Assurances and Disclosures	17
D.	Reporting.....	18
	APPENDIX A: OMB Cost Principles 2 CFR 225.....	19
	APPENDIX B: Summaries of Active ART Method II Grant Projects.....	20
	APPENDIX C: Planning or Implementation Grant Budget Checklist	23
	APPENDIX D: ART Method II Planning Grant Proposal Narrative Instructions	25
	APPENDIX E: ART Method II Implementation Grant Proposal Narrative Instructions.....	28

National School Lunch Program

Fiscal Year 2011

Request for Applications for Administrative Reviews and Training Grants Method II - Training and Oversight Grants

I. INTRODUCTION

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 (SAs) conduct additional administrative reviews of selected school food authorities (SFAs). It also amended Section 7 of the Child Nutrition Act to provide funding for States to be used for administrative reviews and training of SFAs. Both of these requirements are focused on SFAs which have demonstrated a high level of, or a high risk for, administrative error.

To assist SAs in achieving these requirements, the USDA Food and Nutrition Service (FNS) has approximately \$8 million available in fiscal year (FY) 2011 to fund Method II Administrative Reviews and Training (ART) Grants for training and oversight. The grant funds will be available only to the 57 SAs that administer the Child Nutrition Programs, and are for the purpose of identifying, reviewing, monitoring and training local educational agencies that have demonstrated a high level of, or a high risk for, administrative error. FNS will make the funds available on a competitive basis. States may apply for a Planning grant or an Implementation grant, as described in **Section IV, ART Method II Grant Types**, in this Request for Applications (RFA).

The purpose of this RFA is to:

- Describe which entities are eligible to apply for grant funds;
- Describe the types of grants available;
- Solicit applications from eligible entities;
- Describe the requirements for submitting a successful application;
- Describe how applications will be reviewed and selected; and
- Describe the terms and conditions that grantees must adhere to.

FNS intends to work collaboratively with grant applicants and grantees throughout the application process and the life of grants awarded through this RFA. Accordingly, within approximately three weeks of this RFA's publication, FNS will conduct a webinar with all State agencies and FNS regional offices to review the RFA and address questions regarding the application process. Notification of the webinar date, time and call-in information will be communicated to SAs via the FNS Regional offices and the FNS Child Nutrition Division's PartnerWeb at <https://www.partnerweb.usda.gov>.

FNS reserves the option to award these funds using either a grant agreement or cooperative agreement. FNS specifically anticipates awarding the funds associated with the implementation projects as cooperative agreements to allow FNS more active participation with the cooperator during both project development and project execution. Examples of FNS participation include activities such as the following:

- Ongoing evaluation of quarterly progress and financial reports to monitor the grantee's project activities to ensure that the objectives, terms and conditions of the agreement are met;
- Periodic on-site and off-site technical assistance to provide evaluation and guidance on project activities and outputs as they relate to child nutrition program objectives, including: providing program guidance on curriculum development; evaluation of training materials and websites; evaluation of technology improvements; review of project plans and milestones; review of procurement documents for sub grantee involvement (i.e., requests for proposals, contracts, statements of work, and project plans) and other technical assistance related to project objectives; and
- Periodic collaborative meetings for multiple grantees for the purposes of technical assistance, training, problem solving and sharing successful or promising practices. Meetings may be conducted as webinars, teleconferences or training workshops in the Washington, D. C. area or at a program related conference.

II. PURPOSE OF GRANT FUNDING

The purpose of this grant funding is to decrease administrative errors in those SFAs and schools identified by SAs as having problems or where problems are likely to arise. For FY 2011, SAs should focus on one or more of the following three areas in developing their ART Method II Grant applications:

- Training of SFA administrative personnel in application, certification, verification, meal counting and meal claiming procedures. Training may include internet-based training sessions.
- Oversight and training activities focused on the nutritional quality of the meals.
- Technology improvements which demonstrate an ability to address administrative errors through the use of targeted monitoring and increased training in error-prone SFAs. States choosing this option must clearly demonstrate how the proposed technology can be used to implement State-level activities, specifically review and training activities associated with error prone SFAs. For example, proposals may include the following:
 - Development of data analysis tools to monitor application, certification (including direct certification), verification (including direct verification), meal counting and meal claiming procedures for error-prone school districts;

- Training methods utilizing internet technology; or
- Other innovative State-level automated solutions to identify and reduce administrative errors in error-prone school districts.

Proposals for technology improvements addressing other aspects of State-level program management or local-level functions will not be considered.

See **Appendix B: Summaries of Active ART Method II Grant Projects** to review brief descriptions of currently approved ART Method II Grant projects. This information may be helpful to SAs in exploring possibilities for viable use of funding.

Funds authorized under the ART Method II Grants cannot be used to replace or augment funding allocated for existing review requirements. In addition, pursuant to Section 7(g) of the Child Nutrition Act of 1966, funds authorized cannot be used to replace funding allocated for training in administrative practices (including training in application, certification, verification, meal counting and meal claiming procedures) which is required to occur at a minimum of once a year.

III. AUTHORITY

The Child Nutrition and WIC Reauthorization Act of 2004 (P.L. 108-265) authorizes funding for ART Grants. To be eligible, SAs must propose projects that identify and target SFAs that are experiencing or are likely to experience administrative errors.

IV. ART METHOD II GRANT TYPES

The FY 2011 ART Method II Grant award process involves two types of awards:

- ART Method II Planning Grants; and
- ART Method II Implementation Grants

SAs may apply for either type of grant, but not for both. **Only one grant application will be accepted from an SA in response to this solicitation.**

A. Planning Grants

Planning grants are intended for NSLP Agencies that know they need to improve and address their State's administrative errors, but may need to conduct additional *research* to identify the most effective way of doing so to ensure that a chosen approach is actually the most effective approach. Therefore, potential uses of Planning grant funds include, *but are not limited to*: feasibility studies and cost/benefit analyses to plan for automation projects; conducting an internal review of the State's administrative processes; hiring a contractor or university to conduct a study of the processes and recommend solutions; consulting with stakeholders; and assessing current training and oversight capabilities and needs.

NSLP Agencies that are awarded Planning grants from this solicitation may apply for funding for an Implementation grant at the next annual opportunity (FY 2012) in order to carry out an implementation project in follow-up to their Planning grant activities and outcomes. Planning grant funds may be used to complete the planning for the implementation project and to develop an ART Method II Implementation grant application based on the Planning grant project outcomes. However, SAs awarded Planning grants in FY 2011 who then apply for an Implementation grant in FY 2012 are not guaranteed to receive an FY 2012 Implementation grant award. Due to funding limitations each year, all ART Method II Grant awards, both Planning and Implementation, are competitive awards and will be based on the evaluation criteria stated in each fiscal year's grant announcement. Consequently, FNS encourages SAs to apply for Planning grants to conduct activities that would be beneficial in helping them reduce administrative errors, even if they do not receive an ART Method II Implementation Grant award and have to rely on other resources to carry out an implementation project.

State agencies must address the questions in the *Appendix D: ART Method II Planning Grant Proposal Narrative Instructions* to develop a Planning grant application. The instructions are designed to assist SAs in developing fully responsive Planning grant applications for viable planning activities and to bring consistency to the proposal process for evaluation purposes.

The maximum amount of any *single* Planning grant is **\$75,000**. However, FNS retains authority to award less than the amount requested in the application.

B. Implementation Grants

Implementation grants are intended for NSLP Agencies that know *what* they need to do to improve their State's administrative training and oversight processes, but lack the resources to implement those changes. Potential uses of Implementation grant funds include, *but are not limited to*, developing and delivering training to SFA administrative personnel, improving State-level technologies to enhance State-level monitoring capability to identify and address errors in error-prone school districts, upgrading software, purchasing hardware and implementing accordingly.

SAs must address the questions in the *Appendix E: ART Method II Implementation Grant Proposal Narrative Instructions* to develop an Implementation grant application. These instructions are designed to guide applicants in thinking through all aspects of implementing proposed solutions, with particular emphasis on reducing risks associated with technology related aspects of their proposals prior to the grant award. Following the guidance will assist SAs to develop fully responsive Implementation grant applications, and to bring consistency to the proposal process for evaluation purposes.

The maximum amount of any *single* Implementation grant is **\$1.5 million**. However, FNS retains authority to award less than the amount requested by an applicant. The size of Implementation grants will likely vary significantly, based on differences in the size of eligible States, the responsiveness of application packages (see **Section VIII, What to Include in the Application Package**), and clarity of demonstrated need.

V. WHO MAY APPLY?

Eligible applicants include all SAs that administer the National School Lunch Program (NSLP). In this instance, the term SA 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 the public and private agencies are different, separate applications are acceptable.

VI. CRITICAL DATES AND AWARD PERIODS

A. Critical Dates

Applications must be received via www.grants.gov on or before **5:00 p.m., Eastern Standard Time, May 10, 2011**. **Applications received after this date and time will not be considered.** SAs have the option of applying for either a Planning grant or an Implementation grant, but not both. **Only one grant application will be accepted from an SA in response to this solicitation.** FNS will evaluate the applications in accordance with the criteria outlined in **Section X, Application Review and Grant Award Process**, to select applications for awards. The actual number of awards will depend on the quality of the applications and the availability of funds. Applications selected for award will be announced within approximately 90 days following the grant application deadline, and funds will be made available via a Grant or Cooperative Agreement award document following the award announcements.

B. Award Periods

The award period for the FY 2011 ART Method II Grants will be as follows, beginning from the date of the award:

- Planning grants will be awarded for up to one year; and
- Implementation grants will be awarded for one to three years.

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 the end of award period. The close out of the grant must occur no later than 90 days following the end of the award period, and all obligations incurred under the grant must be liquidated by this date. Any funds that are not liquidated within 90 days following the end of the award period must be returned to FNS. In addition, the final progress reports are due to FNS no later than 90 days following the end of the award period. Please see **Section XI, Administrative Requirements and Terms and Conditions**, for additional reporting requirements.

VII. HOW TO SUBMIT AN APPLICATION FOR FUNDING

Applicants must **apply electronically through www.grants.gov** and notify the FNS Grant Officer that the application has been accepted by the system. To submit the application electronically via the 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, the user will need to register online and obtain both a Data Universal Number (DUNS) and a Contract Registry Number. Applicants 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 that the proposal has been submitted through the www.grants.gov portal and that you have received a confirmation notice from www.grants.gov that the application has been accepted by the system.

The application must be successfully submitted to www.grants.gov and the FNS Grant Officer must receive notification of electronic submission no later than 5:00 p.m. Eastern Standard Time on May 10, 2011. **We strongly recommend that you submit the online application several days before the application deadline in case there are problems with the website.** Electronic or paper applications sent via any other method will not be accepted.

All questions regarding the application and notifications regarding electronic submission should be referred to the FNS Grant Officer, Carla Garcia via email at Carla.Garcia@fns.usda.gov or by telephone at (703) 305-2760.

VIII. WHAT TO INCLUDE IN THE APPLICATION PACKAGE

To be considered complete, the ART Method II Grant application must include all the required documents and information listed in the following sections for the specific type of grant -- Planning or Implementation.

A. Planning Grant Applications

To be considered complete, application packages for ART Method II **Planning** Grants must include all information listed in the following table. Failure to provide any item on the list could result in your application being removed from competition.

Required Documents and Information	Explanation
1. Cover Page	Include <ul style="list-style-type: none"> - Agency Name and Address - Contact Information - Name, address, phone number, email address, and fax number for the NSLP agency staff person(s) responsible for the application; - Type of Grant Applied for -- Planning or Implementation; - Brief abstract to summarize proposed grant project purpose and key elements (no more

Table 1 – Checklist for Planning Grant Application Package

Required Documents and Information	Explanation
	than half a page)
<p>2. Project Proposal Narrative - Appendix D</p> <p align="center">10-page limit</p>	<p>For a Planning grant project proposal narrative to be considered complete, applicants must structure and develop their proposal narrative by answering all questions listed in the <i>Appendix D: ART Method II Planning Grant Proposal Narrative Instructions</i>. <u>Applicants should address all questions in the order they are listed</u>. The instructions are intended to simplify both the narrative development for applicants and the evaluation process for reviewers.</p>
<p>3. Form SF-424 Application for Federal Assistance</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>4. Form SF-424A, Budget Information – Non-Construction Programs</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>5. Form SF-424B, Assurances – Non-Construction Programs</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>6. Form SF-LLL, Disclosure of Lobbying Activities</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>7. Form AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>8. Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction (Must submit with application only if a Sole Source Contractor is identified)</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>9. Form AD-1052 Certification Regarding Drug-Free Workplace Requirements</p>	<p>Link to form at http://www.fns.usda.gov/cnd/grants.htm</p>
<p>10. Indirect Cost Rate Agreement</p>	<p>If Indirect Costs are included in the budget, applicants must provide a copy of their agency’s signed Indirect Cost Rate Agreement with a Federal agency.</p>
<p>11. Justification for Sole Source Contracts</p>	<p>If Contractual costs are included in the budget estimate and the contractor is (or will be) acquired without competition, the applicant must provide a justification for a sole source contract.</p>

B. Implementation Grant Applications

To be considered complete, application packages for ART Method II **Implementation** Grants must include all information listed in the following table. Failure to provide any item on the list could result in your application being removed from competition.

Table 2 – Checklist for Implementation Grant Application Package	
Required Documents and Information	Explanation
1. Cover Page	<p>Include</p> <ul style="list-style-type: none"> - Agency Name and Address - Contact Information - Name, address, phone number, email address, and fax number for the NSLP agency staff person(s) responsible for the application; - Type of Grant Applied for -- Planning or Implementation; - Brief abstract to summarize proposed grant project purpose and key elements (no more than half a page)
<p>2. Project Proposal Narrative - Appendix E</p> <p style="text-align: center;">30-page limit</p>	<p>For an Implementation project proposal narrative to be considered complete, applicants must structure and develop their project proposal by answering all questions in the <i>Appendix E: ART Method II Implementation Grant Proposal Narrative Instructions</i>. These instructions are designed to guide applicants in thinking through all aspects of proposed solutions, with particular emphasis on reducing risks associated with technology related aspects of their proposals prior to the grant award.</p> <p>As this document is to be used when developing your proposal, the content of a proposal submission should align with the questions posed in the instructions and incorporate all applicable questions <u>in the order listed</u>. If the same response applies to more than one question, you may provide the response in the first question where it applies, and then reference the answer in later questions. However, be sure that you have provided sufficient information to fully respond to all questions. <u>Applicants should have an entry for every question.</u></p> <p>All questions may not be applicable for projects that do not involve technology developments or improvements. If questions are not applicable,</p>

Table 2 – Checklist for Implementation Grant Application Package

Required Documents and Information	Explanation
	indicate by stating “not applicable.”
3. Form SF-424 Application for Federal Assistance	Link to form at http://www.fns.usda.gov/cnd/grants.htm
4. Form SF-424A, Budget Information – Non-Construction Programs	Link to form at http://www.fns.usda.gov/cnd/grants.htm
5. Form SF-424B, Assurances – Non-Construction Programs	Link to form at http://www.fns.usda.gov/cnd/grants.htm
6. Form SF-LLL, Disclosure of Lobbying Activities	Link to form at http://www.fns.usda.gov/cnd/grants.htm
7. Form AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters.	Link to form at http://www.fns.usda.gov/cnd/grants.htm
8. Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction (Must submit with application only if a Sole Source Contractor is identified)	Link to form at http://www.fns.usda.gov/cnd/grants.htm
9. Form AD-1052 Certification Regarding Drug-Free Workplace Requirements	Link to form at http://www.fns.usda.gov/cnd/grants.htm
10. Indirect Cost Rate Agreement	If Indirect Costs are included in the budget, applicants must provide a copy of their agency’s signed Indirect Cost Rate Agreement with a Federal agency.
11. Justification for Sole Source Contracts	If Contractual costs are included in budget estimate and the contractor is (or will be) acquired without competition, the applicant must provide a justification for a sole source contract.

IX. APPLICATION FORMAT

Applications should meet the following formatting guidelines:

- **10-page** maximum length for **Planning** grant narrative response to **Appendix D**;
- **30-page** maximum length for **Implementation** grant narrative response to **Appendix E**;
- Page restrictions apply only to content of the narrative proposals and do not apply to other required forms and supporting documents, such as the SF-424, SF-424a, SF-424b, cover page, indirect cost rate agreement, and assurance forms);

- 8 ½” by 11” paper;
- 12 point Times New Roman or Arial font size (smaller font may be used in tables, charts and graphs as long as they are clearly readable);
- Numbered pages

X. APPLICATION REVIEW AND GRANT AWARD PROCESS

A. Initial Screening

FNS will screen all applications to ensure they are eligible and fully responsive. Eligible and responsive applications are those that meet the following requirements:

1. Submitted by eligible applicants (see **Section V, Who May Apply?**);
2. Submitted on or before the required deadline (see **Section VI, Critical Dates and Award Periods**);
3. Are complete (see **Section VIII, What to Include in the Application Package**); and
4. Are in the required format (see **Section IX, Application Format**).

Ineligible or nonresponsive applications **will be removed from further consideration** for grant funds. Thereafter, FNS will review and consider eligible applications in accordance with the evaluation process described in the following paragraphs.

B. Panel Review

After initial screening, FNS will convene an evaluation panel of FNS staff to consider the merit of each grant application. Each application that passes initial screening will be given to the panel to be evaluated and scored according to how well it addresses each application component. The panel will assign each application a score using the evaluation criteria and weights specified below for each evaluation component.

1. Scoring for Planning Grant Applications:

- **Project Purpose** **20 points**
 - The significance of the problem(s) to be addressed is clearly demonstrated and proposed planning activities are appropriate to address the problem(s) identified.
 - The project goals and objectives are in line with the ART Method II Grant focus areas and purpose of the funding described in **Section II, Purpose of Grant Funding**.
- **Project Design and Management** **20 points**

- The project organization, management approach and staffing plan indicate that the applicant has the capacity to manage and execute the planning project successfully.
- The scope and timeline proposed for the project are reasonable and attainable during the Planning grant time frame.

- **Impact on Program Integrity** **20 points**

The planning activities to be completed during the grant period clearly support:

- Identification of ways to reduce administrative errors in error-prone school districts;
- Planning for implementation of solutions to improve program integrity, including the areas of application, certification, verification, meal counting and meal claiming.

- **Budget Plan** **20 points**

- The total funding amount requested is appropriate for the scope of the project.
- Proposed costs are reasonable, necessary and allocable to carry out the project's goals and objectives.
- The budget includes a line item description for every allowable cost and shows how it supports the project goals.

- **Sustainability and Transferability** **20 points**

- The proposed planning project is likely to produce outcomes and information that not only will aid the applicant SA in implementing program improvements, but also will produce knowledge that is transferable to other SAs for similar improvement projects.
- The applicant demonstrates that the SA has to capacity to implement program improvements in follow-up to the Planning grant activities, when ART Method II Planning Grant funding ends.

2. Scoring for Implementation Grant Applications:

- **Project Purpose** **20 points**

- The significance of the problem(s) to be addressed is clearly demonstrated and proposed implementation activities are appropriate to address the problem(s) identified.

- The project goals and objectives are in line with the ART Method II Grant focus areas and purpose of the funding described in **Section II, Purpose of Grant Funding**.

- **Project Design and Management** **20 points**

- The project organization, management approach and staffing plan indicate that the applicant has the capacity to manage and execute the implementation project successfully.
- The scope and timeline proposed for the project are reasonable and attainable during the Implementation grant time frame.

- **Impact on Program Integrity** **20 points**

The implementation activities to be completed during the grant period clearly support:

- Reduction of administrative errors in error-prone school districts;
- Implementation of viable solutions to improve program integrity, including the areas of application, certification, verification, meal counting and meal claiming.

- **Budget Plan** **20 points**

- The total funding amount requested is appropriate for the scope of the project;
- Proposed costs are reasonable, necessary and allocable to carry out the project's goals and objectives;
- The budget includes a line item description for every allowable cost and shows how it supports the project goals.

- **Sustainability and Transferability** **20 points**

- The proposed implementation project is likely to produce outcomes and information that not only will aid the applicant SA in accomplishing program improvements, but also will produce knowledge that is transferable to other SAs for similar improvement projects.
- The applicant demonstrates that the SA has to capacity to implement and sustain the program improvements resulting from the Implementation grant activities after the ART Method II Implementation Grant funding ends.

C. Selection

After evaluation and scoring, grant applications will be arrayed by type (planning or implementation) and by score within the type, starting with the highest score. Applications with the highest scores for each type will be chosen to receive funding. FNS intends to award **no more than \$450,000 as Planning grants**. The remaining available funds will be awarded as Implementation grants to the highest scoring Implementation grant applications. In addition, FNS reserves the option to select out of ranking in order to achieve diversity and regional representation.

A list of all applications deemed eligible for award will be submitted to the Selection Official for a final decision regarding funding. The Selection Official has ultimate authority to decide which applications are approved and funded, and *generally* will adhere to the recommendations made by the program reviewers, provided that funding is available. However, the Selection Official reserves the right to deviate from those recommendations. The Selection Official may take other factors into account when granting awards and/or not awarding a particular award. Other factors the Selection Official may consider include, *but are not limited to*: the innovation demonstrated in an application; and the geographic, socioeconomic, and demographic diversity of populations a proposed grant would impact.

Lastly, the Selection Official may suggest changes to your application, and make approval of your application contingent on your acceptance of those changes. The reasons the Selection Official may suggest such modifications include, *but are not limited to*, improving the efficiency and/or effectiveness of your proposed grant activities, approving only a portion of the grant activities, or limited availability of funds.

FNS will review and consider the merit of each grant application and reserves the right to fund only those applications that are able to demonstrate their capability to improve their State's administrative processes and error rates. Additionally, FNS may adjust the amounts requested in the application to ensure that funds are made available at appropriate levels. FNS also reserves the right to suspend or terminate an award for materially failing to perform in accordance with a State application.

XI. ADMINISTRATIVE REQUIREMENTS AND TERMS AND CONDITIONS

A. Administrative Requirements

The grant program will be awarded and administered in accordance with applicable Federal and program regulations. These include but are not limited to:

7 CFR Part 3015: USDA, Uniform Federal Assistance Requirements implementing OMB directives (OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments);

7 CFR Part 3016: USDA, Uniform Federal Assistance Requirements for Grants and Cooperative Agreements to State and Local Governments;

7 CFR Part 3017: Government-wide Debarment and Suspension (Non-procurement);

7 CFR Part 3021: Government-wide Requirements for Drug-Free Workplace (Financial Assistance);

7 CFR Part 3018: Restrictions on Lobbying; and

7 CFR Part 3052: (OMB Circular A-133) Audits of States, Local Governments, and Non-Profit Organizations

7 CFR Part 15: Discrimination; Civil Rights

2 CFR Part 25 – Universal Identifier and Central Contractor Registration

Effective October 1, 2010, all grant applicants must obtain a Dun and Bradstreet (D & B) Data Universal Numbering System (DUNS) number as a universal identifier for Federal financial assistance applicants, as well as active grant recipients and their direct sub recipients of a sub-grant award. To request a DUNS number visit <http://fedgov.dnb.com/webform>.

The grant recipient must register its DUNS number into the Central Contractor Registration (CCR) as the repository for standard information about applicants and recipients, and the registration must be maintain in the CCR throughout the performance period of the grant award. To register a DUNS number and or maintain a CCR registration visit www.ccr.gov. OMB requires grant recipients DUNS number registered in CCR be current in order to access (usaspending.gov) the federal prime grant recipient reporting website.

FNS may not make an award to an entity until the entity has complied with the requirements described in 2 CFR 25.200 to provide a valid DUNS number and maintain an active CCR registration with current information.

2 CFR Part 170 – Reporting Subaward and Executive Compensation

As required by the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, requirements for recipients’ reporting of information on sub awards and executive total compensation apply to the FY 2011 ART Method II Grants.

Prime Grant recipients awarded a new Federal grant greater than or equal to \$25,000 as of October 1, 2010 are subject to FFATA sub award reporting. The prime recipient is required to file a FFATA sub award report by the end of the month following the month in which the prime recipient awards any sub-grant greater than \$25,000. The grants sub award reporting data must be entered into the Federal Sub award Reporting System (FSRS) available at www.fsr.gov. Specific OMB award terms and conditions will be included in all grant awards.

B. Funding

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

- Funds authorized cannot be used to replace existing funding (e.g. State Administrative Expense (SAE) funds) earmarked by the SA for administrative review, oversight and training.
- Current expenditures of State and local funds for the operation of school nutrition programs shall not be diminished as a result of receipt of funds to implement administrative review, oversight and training.
- 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 cannot be used for local level expenses.
- Funds must be expended in accordance with the budget estimate submitted with the proposal, except with prior FNS approval or FNS revision. No more than ten percent of the funds budgeted by the SAs can be shifted from one cost category to another without prior approval from FNS.
- Any change to a project that is outside the scope of an approved proposal requires prior approval by FNS.
- Funding for approved proposals will be provided through the Letter of Credit process in the same manner as other funds. However, SAs will be required to separately track and report these funds via a SF-425, Federal Financial Report.

C. Assurances and Disclosures

Applicants must provide the following assurances and disclosures:

- Assurance – Non-Construction Programs, SF 424B;
- Disclosure of Lobbying Activities, SF LLL;
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters (AD-1047);
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction (Must submit with application only if a Sole Source Contractor is identified) (AD-1048);
- Certification Regarding Drug-Free Workplace Requirements (AD-1052)

The forms listed above are available at the following FNS website:

<http://www.fns.usda.gov/cnd/grants.htm>

D. Reporting

All SAs receiving funds FY 2011 ART Method II Grants are required to submit the following reports in accordance with the deadlines noted:

- 1. Quarterly Financial Reports, SF-425.** In FY 2011, FNS transitioned to electronic submission of financial data. Grantees will be required to submit quarterly 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, SAs are required to become “e-authenticated.” Further instructions regarding data entry into FPRS, the reporting format and dates will be provided to those receiving awards. The designated FNS Grants Officer will provide assistance and guidance for FPRS access.

- 2. Quarterly Progress Reports.** The Quarterly progress report must include (**in narrative form**):
 - A brief description of what the planned activities were for the report period;
 - Major accomplishments for each activity and dates of accomplishment;
 - A description of any deviations from the proposed plan discussing difficulties encountered and solutions developed;
 - Budget impact and/or costs associated within this reporting period; and
 - A list of key activities planned for the next report period.

An **original and one copy** of the Quarterly Progress Report must be submitted no later than 30 days after the close of each quarter. In addition, at the completion of the grant period, a final report is due within 90 days of the end of the award period. The Final Progress Report should be a narrative project summary that includes lessons learned, future implications within the State, and transferability to other States.

APPENDIX A: OMB Cost Principles 2 CFR 225

Link to 2 CFR 225, OMB Cost Principles for State, Local and Tribal Governments:
http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf

APPENDIX B: Summaries of Active ART Method II Grant Projects

Planning grants have not been offered previously under this funding source, so all projects listed are implementation projects.

Alabama Department of Education

There are two phases to the Alabama project. The first phase involves the development of a comprehensive computerized system for identification and periodic monitoring of error-prone SFAs. There are four components to this proposed system, including a verification system, claims processing system, and a Provision 2 schools component. The second phase is to develop online training for managers and cashiers to ensure meal counting and claiming errors are minimized.

California Department of Education

The California Department of Education (CDE) is requesting funding to plan, design, conduct, and assess the impact of a comprehensive curriculum series specifically designed to improve administrative accuracy and program integrity in California's school meal programs. The CDE plans to develop and deliver in-depth instructional programs designed to improve the nutritional integrity of school meals and to decrease administrative review errors that CDE's compliance staff report to be continually on the rise. Project activities will include: developing school meal program integrity (SMPI) training materials; delivering SMPI training to targeted, at-risk school district staff; using web-based technology to increase the number of at-risk sponsors receiving training and instruction; developing a self-assessment tool to assist at-risk agencies in monitoring; and, through training, build consistency in conducting administrative reviews. The CDE also plans to conduct ongoing oversight and evaluation of the effectiveness of the ART grant project activities in decreasing administrative errors related to meal claiming and nutrition standard requirements.

Idaho State Department of Education

Idaho is a rural state. The state's size, shape, location and population create specific problems in training NSLP sponsors in the rules and regulations for the Federal Child Nutrition Programs. Idaho is seeing increased growth in the number of charter schools in the state and unique barriers are in the way, preventing charter schools from beginning or staying as an NSLP sponsor. Food service supervisors continue to have difficulties despite attending training or over the phone technical assistance. Some NSLP sponsors in the state are having difficulty meeting the nutrition standards set forth in the SMI. The State Agency (SA), through a coordinator funded by the ART grant, plans to develop and implement a comprehensive training and technical assistance plan for SFAs, charter schools, and At-Risk Residential Child Care Institutions. The training will encompass reviews of rules and regulations with featured topics including applications, certification, verification, meal counting, meal claiming, menu planning methods, civil rights and more. The focus will be to improve performance and reduce error findings in the Coordinated Review Effort (CRE) reviews and increase the availability of nutritious, reimbursable breakfasts and lunches in compliance with USDA regulations.

Iowa Department of Education

The Iowa Department of Education (IADE), Bureau of Nutrition Health and Transportation Services proposes to implement a data driven integrated systems approach to identify, target and reduce administrative error in the National School Lunch Program (NSLP) and School Breakfast Program (SBP). This approach will facilitate and support the State Agency (SA) in: 1) Implementing targeted monitoring to identify school food authorities (SFAs) that have demonstrated a high level of, or a high risk for, administrative error; 2) Improving program integrity and administrative accuracy by focused strategies to assist high risk SFAs reduce errors; 3) Providing increased timely training to high risk SFAs; and Providing expanded oversight and training activities focused on the nutritional quality of the meals served as addressed in the School Meal Initiative (SMI). The grant will support and enhance the State Agency's ability to identify, review, oversee and train high risk SFAs in application processing and certification, verification, meal counting, meal claiming and areas related to the nutritional quality of school meals. Establishing SFA performance benchmarks in key areas such as financial management and the school meals initiative is a key element of the project. This will enable the SA to conduct trend analysis and make comparisons among districts for grant purposes.

Massachusetts Department of Elementary and Secondary Education

Data collected from 06-08 CRE reviews of school nutrition programs revealed that of 360 schools evaluated by the Massachusetts Department of Elementary and Secondary Education, more than half committed one or more non-certification errors. These included administrative as well as school based errors. Central office and site errors included consolidation errors, incorrect identification of a reimbursable meal based on the type of menu planning used, and incorrect menu format; cashier errors also included incorrect identification of a reimbursable meal as well as counting and recording inaccuracies. The SA would like to use their ART grant to purchase the Mass School Meals Accountability and Responsibility Training Tools (SMARTs). The MASSmart will provide a multi-level, integrated approach to improving accountability by designing and testing a seamless data entry and reporting system and, at the same time, developing educational modules that reflect the importance of personal and professional responsibility at all levels for reducing administrative errors in school nutrition programs, thus improving the quality and efficiencies of school nutrition programs.

Wisconsin Department of Public Instruction

The State agency received a 2007 ART grant and focused their efforts on the Milwaukee Parental Choice Program (MPCP). A large number of MPCP schools were identified as error-prone, as demonstrated by a high level of PS1 errors relating to the free and reduced price meal application process, certification, verification and meal counting and claiming. There were also concerns regarding the general administration of the child nutrition programs due to the high turnover rate of staff in a significant number of these schools. The SA requested an ART grant to provide technical assistance and training to a number of schools across the state and to purchase and host accountability software. The software will allow the SA to provide continuous real-time monitoring of SFAs that have had multiple errors and were monitored through the 2007 ART grant. The monitoring system will also allow the SA to follow up on corrective action implementation to ensure the accountability of SFAs once their CRE reviews are conducted.

Wyoming Department of Education

The Nutrition Section of the agency is currently managing the NSLP, SBP, and ASSP along with other nutrition programs without adequate technology to compile, review, and analyze CNP data from LEAs. Therefore, the SA does not currently have the ability to identify at-risk LEAs and develop appropriate corrective action. The State agency (SA) has a very small staff and without adequate and available software to manage the NSLP and SBP, time is spent in areas that do not affect program integrity and administrative accuracy. The SA wants to implement a technology system with the ability to modify forms, reports, interfaces and outputs as necessary to improve program integrity and administrative accuracy. The system will be especially targeted for districts that are error prone. Some features of the system include data collection and claiming at the site level, reimbursements calculated/totalled at the sponsor level, collection of federally required data elements, etc.

APPENDIX C: Planning or Implementation Grant Budget Checklist

BUDGET CHECKLIST	YES	NO
This budget checklist should be used in the development of a grant. NOTE: The proposed project budget must align with the activities outlined in the proposal. FNS reserve the right to request information not clearly addressed in the proposal and or budget.		
Personnel		
Did you include all key employees paid for by this grant under this heading?		
Are employees of the applicant’s organization identified by name and position title?		
Did you reflect the current yearly salary as a percentage of time to be devoted to the project?		
Fringe Benefits		
Did you include your organization’s fringe benefit amount along with the basis for the computation?		
Did you list the type of fringe benefits to be covered with Federal funds?		
Travel		
Are travel expenses itemized? For example origination/destination points, number and purpose of trips, number of staff traveling, mode of transportation and cost of each trip.		
Are the Attendee Objectives and travel justifications included in the narrative?		
Is the basis for the lodging estimates identified in the budget? For example include excerpt from travel regulations.		
Equipment		
Is the need for the equipment justified in the narrative?		
Are the types of equipment, unit costs, and the number of items to be purchased listed in the budget?		
Is the basis for the cost per item or other basis of computation stated in the budget?		
Supplies		
Are the types of supplies, unit costs, and the number of items to be purchased reflected in the budget?		
Is the basis for the costs per item or other basis of computation stated?		
Contractual: (FNS reserves the right to request information on all contractual and sub-grant awards associated costs after a contract or sub-grant is awarded.)		
Are the products to be acquired or the professional services to be funded described in the budget?		
Has the justification for the need to contract or sub grant been included in the budget?		
For professional services, are the hours to be devoted to the project and the amounts to be charged to the project clearly stated?		
Is the methodology on how the applicant determined the contractual costs included in the budget?		
Are there sole-source contracts listed under this heading? If so, has sufficient justification been provided in order to approve the use of a single source?		
Other		
Consultant Services. All associated costs must be clearly related to the consulting services and the proposal. Details to justify the costs should include: a description of services being considered; an itemized list of all potential direct cost and fees, including labor estimates; number of personnel including related position titles; and specialized qualifications as appropriate.		
Consultant Services. Is the need for consultant services justified in the budget? Are all instances in		

which consultant services would be required listed in the budget?		
BUDGET CHECKLIST	YES	NO
For all other line items listed under the "Other" heading, list all items to be covered under this heading along with the methodology on how the applicant derived the costs to be charged to the program.		
Indirect Costs		
Is the amount requested based upon a rate approved by a Federal Agency? If yes, is a copy of the negotiated rate agreement must be provided along with the application?		
If no approved federal agency negotiated agreement exists, are the basis and the details of the indirect costs to be requested reflected in the budget narrative?		

APPENDIX D: ART Method II Planning Grant Proposal Narrative Instructions

For a Planning grant project proposal narrative to be considered complete, applicants must structure and develop their proposal narrative by answering all questions listed in the following ***ART Method II Planning Grant Proposal Narrative Instructions*** table below. Applicants should address all questions in the order they are listed. The instructions are intended to simplify both the narrative development for applicants and the evaluation process for reviewers.

ART Method II Planning Grant Proposal Narrative Instructions
<p>1. Contact Information: Provide the name, address, phone number, fax number and e-mail address for the State agency staff person(s) responsible for the application.</p>
<p>2. Description of State’s Administrative Training and Oversight Needs: Provide a brief description of your State’s need for improvement in administrative training and oversight processes. Include a description of the specific problem(s) that the proposed Planning project addresses and how the expected results of the Planning grant activities can be used for the purpose of identifying, reviewing, monitoring and training SFAs that have demonstrated a high level of, or high risk for, administrative errors. The description must be sufficient to provide a <i>basic</i> understanding of need as associated with one or more of the following focus areas:</p> <ul style="list-style-type: none"> • Training of SFA administrative personnel to include training in application, certification, verification, meal counting and meal claiming procedures. Training may include internet-based training sessions. • Oversight and training activities focused on the nutritional quality of the meals. • Technology improvements which demonstrate an ability to address administrative errors through the use of targeted monitoring and increased training in error-prone SFAs. States choosing this option must clearly demonstrate how the proposed technology can be used to implement State-level activities, specifically review and training activities associated with error prone SFAs. For example, proposals may include the following: <ul style="list-style-type: none"> ○ Development of data analysis tools to monitor application, certification (including direct certification), verification (including direct verification), meal counting and meal claiming procedures for error-prone school districts; ○ Training methods utilizing internet technology; or ○ Other innovative State-level automated solutions to identify and reduce administrative errors in error-prone school districts.
<p>3. Project Goals and Objectives: Explain what you want to accomplish with the Planning</p>

ART Method II Planning Grant Proposal Narrative Instructions

grant. What are the project objectives and what administrative review, training and oversight focus area(s) will you address? Explain how this project will help you reduce administrative errors, improve program performance and ensure NSLP program integrity.

4. **Project Design.** Describe the essential features of the project design, including how you will organize the project to accomplish your goals and objectives.

5. **Proposed Grant Activities:** Provide a brief description of how you propose to use grant funds to (A) identify the reasons for your State's administrative error rate *and* (B) determine the most effective way(s) to improve that rate. Your description must be sufficient to provide a *specific* understanding of your proposed grant activities, and *must* include a high level gap analysis to identify briefly where your agency is now with where you want it to be at the end of your project. The analysis activities that you carry out during your Planning grant period may then include an intensive system or business process analysis to determine what it will take to get you to where you want to be and the most efficient way to get there (i.e., is online training the answer, do you need to develop a new automated process for data collection and monitoring, etc.).

Examples of potential grant activities include, *but are not limited to*:

- Conducting an internal analysis of your administrative system(s) and processes for training, monitoring, reporting and analyzing SFA performance and operational data. Such an analysis might cover a variety of topics, such as Information Technology (IT) capabilities and deficiencies, ability to identify and target error-prone SFAs for improvement initiatives, policies and procedures governing administrative performance requirements, staffing levels and needs, and inter-agency operations and cooperation;
- Developing business cases by conducting feasibility studies, cost/benefit analyses and detailed gap analyses to support your agency's decision making for selecting technology solutions and proposing an implementation project.
- Hiring a contractor, consultant, or university to conduct such analyses or studies.
- Following completion of research, analyses, and/or studies described above, using the planning activity results to develop an implementation project plan and ART Method II Implementation Grant Application to be submitted for FY 2012 funding consideration.

6. **Timeline:** Provide your proposed schedule for carrying out the Planning grant activities. At minimum, your timeline must identify significant project milestones, indicate when those milestones will be met, and indicate when the grant activities will be completed. Please note that Planning grants *must* be completed no later than one year after the Planning grant award date.

7. **Project Management and Quality Assurance.** Describe your approach to managing the project to ensure that project activities are completed on time, within budget and with quality

ART Method II Planning Grant Proposal Narrative Instructions

results.

8. **Staffing:** Identify the staff who will manage the grant. At minimum, you must:

- Identify the employees you will assign to manage the grant. However, if such employees are not currently on your staff, indicate whether you have the resources to hire them and (if so) when you intend to do so.
- For current employees, describe relevant qualifications and experience, and projected roles and responsibilities. For employees not currently on your staff, describe the qualifications and/or experience you will use to identify potential hires.
- Include a discussion or plan on how activities will be fulfilled should key staff leave or be removed.
- Indicate what percentage of each identified employee's time will be spent managing the grant; and
- Indicate the total cost of these staffing levels.

Budget: Provide a proposed budget describing appropriate use of Planning grant funds and justifying costs. Proposed costs must be reasonable, necessary and allocable to carry out the project's goals and objectives. The budget must include a line item description for every allowable cost and show how it supports the project goals.

Please use the Budget Checklist provided in **Appendix C** as a guide to ensure you have addressed all budget items. See **Appendix A: OMB Cost Principles 2 CFR 225** to review OMB Circular A-87, which addresses allowable costs.

APPENDIX E: ART Method II Implementation Grant Proposal Narrative Instructions

Introduction

For an Implementation project proposal narrative to be considered complete, applicants must structure and develop their project proposal by answering all questions in the *ART Method II Implementation Grant Proposal Narrative Instructions*. These instructions are designed to guide applicants in thinking through all aspects of proposed solutions, with particular emphasis on reducing risks associated with technology related aspects of their proposals prior to the grant award.

As this document is to be used when developing your proposal, the content of a proposal submission should align with the questions posed in the following instructions and incorporate all applicable questions in the order listed. If the same response applies to more than one question, you may provide the response in the first question where it applies, and then reference the answer in later questions. For example, you may combine your response to questions 8 and 9 as the answer to question 8; then enter “See response to #8” as your response to question 9. However, be sure that you have provided sufficient information to fully respond to both questions. **Applicants should have an entry for every question.**

All questions may not be applicable for projects that do not involve technology developments or improvements. If questions are not applicable, indicate by stating “**not applicable.**”

Using the instructions:

- State Agencies (SAs) must address all elements in the instruction table below to develop the narrative proposal response portion of their ART Method II Implementation Grant application. Applicants may copy the table as it appears, or set up their own format as long as all questions are addressed in the order listed in the table.
- The instructions include tips with scenarios and suggestions for the kind of content you will need to address in your proposal when describing the requested elements. It is fully understood that your agency may not have addressed every element detailed below prior to grant award. Subsequently, if a guidance element is not addressed in your application proposal, your application should explain why. For each element of the guidance document, please do one of the following: (1) respond to the element; (2) state this element will be addressed if the SA is awarded a grant; (3) state this element is not applicable; or (4) if there is duplication with a previous answer(s), explain that the answer is included in the response to a previous question and give the referenced question and response number.

Sample worksheets for budget, training, travel, and equipment related information requests are included in the instructions. FNS encourages your agency to replicate the worksheets in your proposal if you find them to be a helpful model for your agency. However, applicants are not required to use the worksheet formats displayed in this document. Please use the Budget Checklist provided in **Appendix C** as an additional guide to ensure you have addressed all budget items. See **Appendix A: OMB Cost Principles 2 CFR 225** to review OMB Circular A-87, which addresses allowable costs.

ART Method II Implementation Grant Proposal Narrative Instructions

1. Briefly summarize your State agency's challenge(s) in reducing errors in administering the applicable FNS program(s):

[Tip: Explain the situation or factor(s) that impact your State agency's ability to identify and reduce Local Educational Agency (LEA) errors in approving free and reduced price meals, claiming meals and in more accurately reporting meals served in the school lunch, breakfast and/or snack programs.]

2. Briefly summarize project goals, objectives and the solution(s) that will accomplish those goals and objectives:

[Tip: Explain what your project would accomplish (e.g., reducing data corruption, identifying error-prone LEAs) and explain what solution(s) will help your project team accomplish your goals (e.g., development of a system interface to improve the quality assurance of incoming data reports from LEAs).]

3. List the performance measures that have been developed to gauge your progress and outcomes in meeting solution delivery and project goals:

[Tip: Some sample performance measures include: 1) establishing and meeting set deadlines for accomplishing project milestones, 2) tracking changes in the amount of data reported from LEAs, 3) tracking changes in the amount of reporting errors, or 4) tracking changes in system down time. Describe any performance measures your agency will use to evaluate project success.]

4. List the offices within your organization whose daily operations or business processes will be affected by the implementation and/or operation of your proposed solution. Describe how your State agency worked within your organization to understand how the project solution(s) will be compatible with the applicable groups' relevant business processes. Describe how the project solution(s) will fit in with the applicable groups' relevant business processes.

[Tip: Review your proposed solution(s) and list all of the offices within your organization that need to collaborate with your team to achieve project success according to the established time and budget requirements. These are the offices you must contact concerning integration of the project with their business processes. You should work with internal offices such as IT, Finance, Acquisition, HR, Communications, and/or any other applicable internal office to understand how initiatives (e.g., enhancing an IT solution, providing end-user training) will impact current systems, financial planning and payment processes, and internal training policies. Describe the communication process between the project team and offices (by name) to assure that the proposed project solutions are realistic, feasible, and would be fully supported by those offices during and after implementation.]

5. List the offices external to your organization whose daily operations or business processes will be affected by the implementation and/or operation of your proposed solution. Describe how your State agency worked with any vendors or external agencies to understand how the project solution(s) will be compatible with the applicable organizations' relevant business processes. Describe how the project solution(s) will fit in with the applicable organizations' relevant business processes.

[Tip: Review your proposed solution(s) and list all of the external offices and agencies that need to collaborate with your team to achieve project success according to the established time and budget requirements. These are the offices/agencies you must contact concerning integration of the project with their business processes. You should work with any other applicable external office or agency to understand how initiatives (e.g., enhancing an IT solution, providing end-user training) will impact current systems, financial planning and payment processes, and training policies. Describe the communication process between the project team and external offices/organizations (by name) to assure that the proposed project solutions are realistic, feasible, and would be fully supported by those offices during and after implementation.

Planning

6. Provide the proposed ART project timeline:

[Tip: Describe how long each phase of your project will take and include the key milestones and deliverables mapped to each phase. For example, provide a timeline with milestone information for: Development of Concept of Operations period; Design period for each project solution and major task areas necessary for accomplishing a solution; Launch period for each solution; Implementation period for each solution; Operations period for each applicable solution and major task areas necessary for accomplishing a solution; Major benchmark and deliverable dates; and Anticipated project completion date. Applicants need to demonstrate a realistic approach to planning the project timeline. A project timeline will help reduce extension requests. Refer to the Sample Timeline Table below as a sample method to provide timeline details within your proposal]

Sample Timeline Table for Question 9					
Key Phase / Completion Date		Milestones / Completion Date		Deliverables / Completion Date	
(Example) ART Project Management	2/15/11	- Assess all required deliverables and assign staff and completion dates to all milestones and deliverables - Risk assessment and recommendations memo based on internal review of all aspects of the project plan and grant requirements	02/01/11 02/15/11	-Completed Project Plan -Completed Risk Management Plan	02/15/11

7. Summarize any project and/or solution attributes that contribute to project sustainability after award closeout; if this is not an applicable accomplishment for your project summarize why not:

[Tip: If sustainable, an example summary includes: “The startup costs of x technology solution and y system software solution are sunk costs that the agency is unable to fund. However, we can afford x costs per year for the continued end-user training, upkeep, and maintenance of the solutions developed under this project plan. At minimum, we expect to get x life out of the technology solution and y life out of the software product. Additionally, the IT Office and x Program Office’s review of the technology and software solution demonstrates how we plan to build in other potential upgrades.” If not sustainable, discuss the ongoing costs or other attributes that make sustainability unrealistic at this time.]

8. Identify the internal and external offices, organizations, experts in the field, LEA representatives, or other stakeholders your agency engaged. Explain the role they played during your project planning and solution development processes. (A contact’s name should be provided for each stakeholder entity discussed in the proposal.) NOTE: You may refer to list/information provided previously in #5, but explain briefly their roles in the planning, solution development, and project execution phases.

[Tip: Consider what, if any, outreach activities your agency supported to identify problems, challenges, and/or solutions. In particular, consider what research your team conducted with other offices or organizations to collect feedback on possible solutions and project schedules, etc.]

9. Discuss the required partners (agencies, stakeholder groups, etc.) or vendors that will work with your State agency to successfully complete the project.

[Tip: Consider those internal state offices, external offices and organizations, and vendors whose assistance or contributions directly impact the success of the project, including progress toward meeting key project milestones, deliverables, and staying on schedule. Name the partners, and indicate how the collaboration between the project team and partners will strengthen your agency’s project proposal application. Letters of intent or partnership letters from partner agencies and vendors are not required; however, they may demonstrate a well supported project plan.]

10. Summarize the method(s) that will be used to track project progress and/or ongoing risk alerts, including who is going to track progress and risks and how often:

[Tip: Example explanation, “two project assistants, R. Thompson and J. Smith, will create an Excel tracking sheet tool with key milestones and budget details for every phase central to accomplishing each deliverable. Every applicable project accomplishment will be recorded with weekly status updates, after which the project assistants will then load the applicable dates and background information into the tracking sheet tool. At the end of each week the project assistants will produce a report including deadlines that must be met over the next two weeks; milestone dates that have been missed and by how much time; other deadlines that are put at risk due to the unmet milestone(s); and a summary of risks reported back by project staff as vetted by applicable project managers. A process will be in place for all core managers and staff to receive this weekly progress report. The reports will be saved past the period of performance of the grant and corrective project plans will be put in place (by the applicable managers) for milestones and/or deliverables that are delayed by more than 21 days. The Excel tracking sheet tool will be designed and finalized within a week of the project kick-off.”]

11. Describe the identified existing and/or probable project risks. Summarize the identified risks and the actions the project team and partners will take to reduce the potential negative impacts from those risks:

[Tip: To provide information on your project’s risks, your agency and partners should consider the realities of the work involved that are exposed to potential breakdown. Causes of risks may include the following: a complex timeline, use of flawed data, or involvement of a high number of partners that have not traditionally worked together. Some risks may be known or assumed in advance, while other risks are seen as potential or probable. In describing actions that will be taken to minimize identified and/or probable risk(s), also address what actions the agency plans to take to reduce negative outcomes from project risks.]

Staffing

12. Identify the roles, responsibilities, and level of relevant experience for all project personnel supporting the project at least 20% of the time, or managing key project areas if less than 20% on the project:

[Tip: The Sample Personnel Table below will help guide you in providing sufficient staffing information. Regardless of what format is used, indicate the title of the project role, name of staff (if known), whether or not the person is currently available, if the person is internal to the agency but a transfer must be executed, or if the person is yet to be identified and/or hired.]

Sample Personnel Staffing Table for Question 15						
Title of Project Role & Name of Staff if Known	Quantity	Number Identified	Existing, Transfer, or New Hire	Project Role & Duties	Minimum Level of Direct Experience Required	Full-time or Part-time
<i>(Example)</i> Regional LEA Coordinator -Mary Andrews -David Jones -TBD	3	2	Transfer: Mary Andrews New Hire: David Jones Undetermined: TBD	Facilitates applicable project work among regions thereby acting as a regional coordinator. Each coordinator is responsible for two of six regions	At a minimum, each coordinator must have 3 years of experience in providing similar stakeholder coordination support in completing program objectives and deliverables. At a minimum, each coordinator must have 1 year of outreach experience	Full-time: Mary Andrews three-fourths time: David Jones and TBD employee

13. Summarize the projected Level of Effort (LOE), inclusive of time and cost, for ART project staff:

[Tip: Describe how LOE (for both time and cost) was calculated for staff hours to complete project work. The Personnel Cost Breakdown Table will assist in determining Total Cost of Project Personnel and Project Personnel supported by this Grant funding. If your agency prefers not to use this table, it is necessary to provide content within the ART application proposal describing how LOE estimates were calculated.]

Personnel Cost Breakdown for Question 13						
Quantity	Position Title/Role	Hourly Rate	Total Hours on ART Project Annually	Annual Salary	Fringe (30%)	Total Cost
<i>(Example) 1</i>	<i>ABC Systems Administrator</i>	<i>\$20/hour</i>	<i>1040</i>	<i>\$20,800</i>	<i>\$6,240</i>	<i>\$27,040</i>
Total Cost of Project Personnel supported by this Grant funding				\$20,800	\$6,240	\$27,040

Training / Staff Development

14. Describe the purpose of training that is central to the project plan scope:

[Tip: Explain why training is needed in the project, including the type of training and the benefits of administering/offering the specified training.]

15. Summarize the training logistics:

[Tip: Explain which group of employees (title of individuals) will take the training; whether the training is administered online, by CD-ROM, or is classroom-based; and specify the travel plans (location, travel mode, etc.) required to attend classroom-based training.]

Sample Training Logistics Table for Question 18				
Training name	# Attendees	Title	Location	Travel Requirement
<i>(Example) ABC Training Course</i>	<i>10</i>	<i>Reporting Analysts</i>	<i>Online</i>	<i>None</i>

16. Summarize the cost for all proposed training:

[Tip: See the Sample Training Cost Breakdown Table below for guidance.]

Sample Training Cost Breakdown for Question 19			
Training Name	Quantity	Unit Rate	Line Total
<i>(Example) XYZ Online Course</i>	<i>2</i>	<i>\$1,000</i>	<i>\$2,000</i>
Training Material & Related Costs	Quantity	Unit Rate	Line Total
Total for Training			\$

Travel

17. Summarize travel details for applicable phases of the project:

[Tip: Include the titles of individuals traveling, their purpose(s), projected location and mode of travel.]

18. Provide the cost for all travel:

[Tip: See the Sample Travel Cost Breakdown Table below for guidance.]

Sample Travel Cost Breakdown for Question 21

Travel Categories	Quantity	Unit Rate	Line Total
<i>(Example) Flight/Train Ticket Expenses</i>	2	\$195	\$390
Rental Car and Mileage Reimbursement Expenses			
Meals and Lodging Expenses			
Travel Related Materials and IT Expenses			
On-site Meeting Room Expenses			
Total for Travel			\$

Equipment

19. Summarize the functional requirements of the hardware/software:

[Tip: Explain the function, capabilities, and/or features of the system that are required for the success of the project. For example, System X needs to support input from end users; System X needs to track the number of free lunches from school Y; System X needs to track the number of reduced lunches from school Y. Include diagrams, charts, or tables for further explanation.]

20. Summarize the gap analysis performed on your current IT processes:

[Tip: Provide goals for the future system processes, and a needs assessment to improve the current state of the existing system. This summary should provide evidence that the agency's internal IT staff validated the gap analysis/functionality (also called FIT-GAP), and strongly agrees that the technology solution meets the agency's needs and goals stated in the ART project proposal.] (*Goals – needs to be consistent with 2*)

Sample Gap Analysis Table for Question 23

End State	Current State	Gaps/Action
<i>(Example) Provide number of free lunches provided daily at X school district</i>	<i>System has no way of counting more than one school's data</i>	<i>Require software that will provide integration of multiple school's data</i>

21. Summarize the hardware/software configuration:

[Tip: Provide details of the new and/or existing system’s design. Include information regarding the hardware/software’s platform, data storage methods, charts, and diagrams.]

22. Identify the type of technology solution needed for project completion:

[Tip: In anticipation of this grant, list the hardware/software you have researched as possible candidates to procure: Include hardware/software type and functionality, and identify possible vendors. If there is an upgrade to an existing system, name the hardware/software. In enquiring about items that involve acquisition, FNS reminds agencies that they must comply with all state and federal acquisition regulations.]

23. Explain how the proposed technology solution will fit into your business and organizational needs:

[Tip: Provide details in your agency’s proposal that evidences that x, y and z office have reviewed relevant proposal components and agreed with the feasibility of acquiring such solutions, and on the proposed schedule and cost.]

24. If there is an existing system/software application in place with similar functions, describe the integration plans and its ability to integrate with the existing databases:

[Tip: Explain how your agency or applicable partner offices would integrate the new equipment with the existing system. Provide evidence that the new hardware/software will be able to communicate with the existing system, for example, include verification information from your IT Office describing the integration within the ART project proposal.]

25. If there is a need to migrate data to the new system, describe the migration process:

[Tip: Explain what procedures are needed to transfer old data into the new system; describe if and how unused data will be archived, discarded, or cleansed.]

26. Summarize the test plan for your system/software:

[Tip: Describe how you will verify that your system and/or software is functioning properly; provide the high level functional, data, user and system performance testing procedures; and include the test item, risk issues, and features to be tested complete with proposed test schedule, if available.]

27. Describe the plans to maintain the system and/or software:

[Tip: Provide information on procedures to sustain the system and/or software: Define the support environment, roles and responsibilities, and maintenance activities; monitor the system for continued performance and provide the necessary system modifications; and identify the support environment, including the development, maintenance, and target host environments.] *(Elements 8 and 30 seem very similar and need to be linked in with element 4)*

28. Provide the type and quantity of each hardware and/or software item requested:

[Tip: List the hardware/software product and how many items are requested in your project proposal.]

29. Summarize the estimated cost for all equipment

[Tip: See the Sample Equipment (Hardware & Software) Cost Breakdown Table below for guidance.]

Equipment (Hardware & Software) Cost Breakdown for Question 32			
Acquisition Costs	Quantity	Unit/Hourly Rate	Acquisition Cost Total
<i>(Example) ABC Database System</i>	<i>10</i>	<i>\$5,000</i>	<i>\$50,000</i>
Implementation Costs	Quantity	Unit/Hourly Rate	Implementation Cost Total
		\$	\$
Operation and Maintenance Costs <i>(assume this is wanted for the grant time perio and foR expenses that will be charged to the grant?)</i>	Quantity	Unit/Hourly Rate	Operation & Maintenance Cost Total
		\$	\$
Equipment Total			\$