TRIBAL DIRECTOR'S MANUAL

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CHAPTER 1
INTRODUCTION

The Tribal Director's Manual was developed to serve as a resource for the Tribal AmeriCorps grantees. The Tribal Director's Manual is divided into the following chapters:

A. CHAPTER 2
Corporation for National and Community Service provides information on the Corporation for National and Community Service (CNS) and the programs operated by the Corporation. The three major service initiatives of the Corporation are AmeriCorps, Learn and Serve America, and the National Senior Service Corps.

B. CHAPTER 3
Corporation for National and Community Service Requirements provides an overview of the AmeriCorps regulations, special and general provisions of the grant award, and the program and financial reporting requirements. Chapter 3 also includes a summary of the regulations and grant provisions, as well as the complete AmeriCorps regulations and grant provisions.

C. CHAPTER 4
Fiscal Management covers the three elements of a financial management system and provides a summary of the financial assistance rules, including the Office of Management and Budget (OMB) cost principles. Also in this chapter are the financial and program reporting requirements and instructions for completing reports.

D. CHAPTER 5
Performance Measurement provides information on how to complete the Performance Measurement portion of an AmeriCorps application. The information includes a discussion of logic models and details on developing and using a logic model to design, implement and evaluate your program.

E. CHAPTER 6
E-grants provides information on how to use the Corporation for National and Community Services eGrant program for preparing and submitting applications, accessing information on the status of a project, editing and submitting Project Progress Reports and preparing and submitting Financial Reports.

F. CHAPTER 7
Web Based Reporting Systems (WBRS) covers the Corporation for National and Community Service system for enrolling members and documenting and tracking other programmatic and financial information.

G. CHAPTER 8
Member File includes the required information for each member file. The chapter has a number of sample forms and tools that can assist directors in establishing and managing the program member files, including a member file checklist to insure the completeness of each file.

H. CHAPTER 9
Organizational Culture deals with tribal sovereignty and the factors that come into play in operating a tribal AmeriCorps Program. Included in the chapter are sections on working with tribal councils and working with tribal administration and other tribal programs.

I. CHAPTER 10
Start Up provides valuable tools for use within the program. The chapter contains a start-up checklist that can be used to implement the program, as well as a model grievance procedure, drug and alcohol policy, prohibited activities, allowable activities**,** and tips on planning for the future.

J. CHAPTER 11
Training deals with the training of AmeriCorps members and staff. The chapter provides extensive information on developing the member orientation and additional information about ongoing member training and staff training. The chapter has a number of tools that can be used to develop the program's training plans.

K. CHAPTER 12
Site Supervision contains a wealth of information for use by the program site supervisors. Included in the chapter are a site supervisor handbook and sample handouts that can be used for orientation of site supervisors. The chapter also contains tips and resources for site selection and management and multi-site management strategies.

L. CHAPTER 13
Resources include a number of resources available to Tribal AmeriCorps Program Directors. The chapter has information on all of the Corporation's training and technical assistance providers, available publications, training and technical assistance resource guide, a list of the Corporation's state offices, a list of the state commissions, and a list of the Tribal programs that receive funding directly.

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CHAPTER 2
CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

A. Introduction

Tribal programs are among the variety of programs funded by the Corporation for National and Community Service. The AmeriCorps* Indian Tribal grant program is funded through a one percent set-aside of monies that are granted directly to federally recognized tribes. Programs funded by the Corporation often are referred to as "streams of service" or "funding streams" because they are differentiated by the services they provide and the sources of funding that support them. Although programs have different names and funding streams, they are all service programs. In order to gain a better understanding of where tribal programs fit into the larger family of national service programs, an organizational chart is provided at the end of this section (as Section H). It can be a useful handout at member orientations, site supervisors' trainings, or when working with other tribal organizations and programs. The organizational chart provides a visual depiction of local AmeriCorps programs as part of a larger national initiative.

The Corporation's three major service initiatives are:

- AmeriCorps,
- Learn and Serve America, and
- The National Service Corps.

B. AmeriCorps Programs

AmeriCorps, the domestic Peace Corps, engages more than 40,000 Americans in intensive, results-driven service. Most AmeriCorps members are selected by and serve with local and national organizations like Habitat for Humanity, the American Red Cross, Big Brothers/Big Sisters, and Boys and Girls Clubs. Others serve in AmeriCorps*VISTA (Volunteers in Service to America), AmeriCorps*TCCC (Tribal Civilian Community Corps) and AmeriCorps*NCCC (National Civilian Community Corps). After their terms of service, AmeriCorps members receive education awards that help finance college or repay student loans.

NOTES:

AmeriCorps supports local, state, and national organizations that involve Americans in results-driven community service. AmeriCorps participants (or "members") who serve full-time (1700 hours) in a year receive a living allowance and a post-service education award worth $4,725. The education awards are paid as vouchers by the National Service Trust, and may be redeemed within seven years to pay for current educational costs at colleges, universities, other postsecondary institutions and approved school-to-work programs, or to repay qualified student loans already incurred.

AmeriCorps includes AmeriCorps*VISTA (Volunteers in Service to America), AmeriCorps*State and National, and AmeriCorps*National Civilian Community Corps (NCCC). More than 900 national, state, and local nonprofits, Indian tribes, and territories receive AmeriCorps grants.

AmeriCorps*VISTA members serve low-income communities and families across the country. Members of AmeriCorps*VISTA work and live in the communities they serve, creating or expanding programs that can continue after they complete their service. AmeriCorps*VISTA members are assigned to local project sponsors and focus on building community capacity, mobilizing community resources, and increasing self-reliance.

AmeriCorps*State and National members participate in local service programs operated by nonprofit organizations, local and state government entities, Indian tribes, territories, institutions of higher education, local school and police districts, and partnerships between or among any of the above. Program recruitment, selection and placement of members are the responsibility of the grantees. Members serving in these programs help meet communities' educational, public safety, environmental, and other critical needs.

The AmeriCorps Promises Fellows Program is a leadership corps of over 500 full-time AmeriCorps members (called AmeriCorps Promises Fellows) who spearhead community efforts to deliver the Five Promises of the Presidents' Summit for America's Future to children and youth across the nation. The program is administered by the Corporation through AmeriCorps*State and National, which competitively funds AmeriCorps Promises Fellows through grants to state service commissions, national nonprofit organizations, Indian tribes, and U.S. territories. The grantees recruit, select, and place the Fellows in community organizations.

NOTES:

The AmeriCorps Education Award Program provides education awards to national, state and local community service programs that can support most or all of the costs associated with managing the service of AmeriCorps members from sources other than the Corporation. Program requirements have been modified under this initiative to allow greater managerial and operational flexibility, but the services carried out by the members must meet the same quality and impact expectations as other State and National programs. This program is especially suited to organizations already conducting community services that could be further enhanced by the availability of education awards. This program does not require grantees to pay living allowances to members.

AmeriCorps*TCCC is a 10-month, full-time residential program. The AmeriCorps*TCCC is modeled after the AmeriCorps*NCCC. AmeriCorps TCCCs have been established with the Hoopa Valley Tribe, Mille Lacs Band of Ojibwe, Navajo Nation/Rough Rock Community School, and Tanana Chiefs Conference.

AmeriCorps*NCCC is a 10-month, full-time residential program operated directly by the Corporation. AmeriCorps*NCCC combines the best practices of civilian service with the best practices of military service, including leadership development and team building. Members live and train at campuses located in Charleston, SC, Denver, CO, Perry Point, MD, San Diego, CA, and Washington, DC. AmeriCorps*NCCC conducts service projects in partnership with local and state sponsors. The service-learning approach that is integrated throughout all NCCC projects includes planned activities and training.

Detailed on the following pages is a summary of the AmeriCorps programs.

NOTES:

AMERICORPS SUMMARY OF PROGRAMS			
	All AmeriCorps Programs (Over 500 separate programs)	AmeriCorps*VISTA (Volunteers in Service to America)	AmeriCorps*NCCC/TCCC (National/Tribal Civilian Community Corps)
PROGRAM FOCUS	Members serve both in teams and individually through national and community-based private and public organizations. Members help solve community problems through direct and indirect service, in the areas of education, public safety, the environment, and other human needs, such as health and housing.	Members serve through private organizations and public nonprofit agencies, addressing issues related to poverty—such as public health education, the environment, public safety, and employment—by developing and mobilizing resources that create long-term sustainable benefits at a community level.	Members live in a campus environment and serve in teams to complete a variety of service projects in the areas of environmental conservation, education, public safety, and other community needs. Members travel to projects throughout their region.
ELIGIBILITY	Applicants must be at least 17 years old and a U.S. citizen, national or legal permanent resident alien of the U.S. The upper age limit varies among programs	Applicants must be at least 18 years old and a U.S. citizen, national, or legal permanent resident alien of the U.S. There is no upper age limit.	Members must be 18 to 24 years old while they serve and a U.S. citizen, national, or legal permanent resident alien of the U.S.
SKILL REQUIREMENT	All skill levels are needed.	A bachelor's degree or the equivalent years of related volunteer/job experience is preferred.	All skill levels are needed.
TERM OF SERVICE	Full-time for one year. (Some part-time service opportunities are available.)	Full-time for one year. (No part-time service opportunities are available.)	Full-time for ten months. (No part-time service opportunities are available.)
LIVING ALLOWANCE	A modest living allowance is paid biweekly.	A modest living allowance is paid biweekly.	A modest living allowance is paid biweekly.
ROOM AND BOARD	In most cases, members are responsible for covering their own housing and meals from their living allowance.	Members are responsible for covering their own housing and meals from their living allowance.	Members are provided with housing and meals and live in dormitory-style housing on one of five campuses.
EDUCATION AWARD STIPEND	Upon completion of service, members receive a $4,725 education award, in the form of a voucher.	Upon completion of service, members have a choice of a $4,725 education award, in the form of a voucher, or a $1,200 cash stipend.	Upon completion of service members receive a $4,725 education award, in the form of a voucher.

NOTES:

AMERICORPS SUMMARY OF PROGRAMS			
	All AmeriCorps Programs (Over 500 separate programs)	AmeriCorps*VISTA (Volunteers in Service to America)	AmeriCorps*NCCC/TCCC (National/Tribal Civilian Community Corps)
STUDENT LOANS	Members may qualify for postponement, or forbearance, of the repayment of their student loans during their term of service. The $4,725 education award can be used either to repay qualified student loans or to pay for future education at qualified schools.	Members may qualify for postponement, or forbearance, of the repayment of their student loans during their term of service. The $4,725 education award can be used either to repay qualified student loans or to pay for future education at qualified schools.	Members may qualify for postponement, or forbearance, of the repayment of their student loans during their term of service. The $4,725 education award can be used either to repay qualified student loans or to pay for future education at qualified schools
INSURANCE AND CHILDCARE	Members receive health insurance and may qualify for childcare assistance	Members receive health insurance and may qualify for childcare assistance. Members have the option of purchasing life insurance.	Members receive health insurance, as well as some assistance with off-campus childcare expenses. (Children are not allowed to reside on campus with members.)
RELOCATION EXPENSES	Most programs do not pay for members' relocation expenses.	Members who move in order to serve receive an allowance to assist with relocation expenses.	Members are provided with transportation to and from their campus.
PROJECT LOCATIONS	Projects are located in all 50 states, the District of Columbia, Guam, Puerto Rico, and the Virgin Islands.	Projects are located in all 50 states, the District of Columbia, Guam, Puerto Rico, and the Virgin Islands	Members live on one of five campuses, located in Charleston, SC, Denver, CO, Perry Point, MD,; San Diego, CA, and Washington, DC
TRAINING	Members receive pre-service, in-service, and close-of-service training as determined by the program.	Members attend a three-day orientation before starting a project, and then receive additional training at their project as needed.	Members receive training when they arrive on campus and during their service for specific projects.

NOTES:

AMERICORPS SUMMARY OF PROGRAMS			
	All AmeriCorps Programs (Over 500 separate programs)	AmeriCorps*VISTA (Volunteers in Service to America)	AmeriCorps*NCCC/TCCC (National/Tribal Civilian Community Corps)
WHEN/HOW TO APPLY	Apply directly to each program in which you have an interest in serving. Visit the AmeriCorps website at www.AmeriCorps.org for program listings by state.	Applications are accepted year round. Most positions are available between June and August. Send application four months prior to availability for service to AmeriCorps*VISTA Recruitment 1201 New York Avenue, NW 8th Floor Washington, DC 20525	AmeriCorps*NCCC applicants are accepted in the winter/spring for the fall class. Send application to AmeriCorps*NCCC Recruitment 1201 New York Avenue, NW 8th Floor Washington, DC 20525
CONTACT	For an application call 1-800-942-2677 TDD 800-833-3722 For a listing of programs, visit www.AmeriCorps.org	For more information and an application, call: 1-800-942-2677 TDD 800-833-3722	For more information and an application, call: 1-800-942-2677 TDD 800-833-3722 www.AmeriCorps.org

C. Learn and Serve America

Throughout our nation, many schools are discovering the value of service learning—projects that link education and service. At the forefront of this movement is Learn and Serve America, which supports nearly one million students from kindergarten through college in meeting community needs while improving their academic skills and assuming civic responsibilities. In addition to providing grants to schools and community organizations, the Corporation for National and Community Service also promotes student service through the President's Student Service Challenge.

Learn and Serve America Grants Program. Through the service-learning programs that Learn and Serve America supports, more than 1.5 million students in kindergarten through college apply academic skills to meet the needs of more than 3,000 communities. In schools, colleges, and community organizations, young people of all ages improve their studies,

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develop problem-solving skills, and develop good citizenship habits while improving their communities. For more information, contact your state department of education, call (202) 606-5000, ext. 136, or visit www.nationalservice.gov

President's Student Service Challenge. Millions of students volunteer every day—improving communities and making America stronger. Launched in 1999, the President's Student Service Challenge is an opportunity for schools, colleges, and community organizations to recognize young people for their outstanding community service and to encourage more young people to serve. The Challenge has two components:

- **Scholarships**. Each high school in the country may select two students from the junior and senior classes to receive a $1,000 scholarship for outstanding community service. The Corporation for National and Community Service provides $500 for each scholarship, matched with $500 from the community. Scholarship recipients must have served at least 100 hours within the past 12 months. In addition to the scholarship, students receive a gold pin, certificate, and a letter from the President. For more information, call (888) 275-5018 or visit www.student-service-awards.org

- **Awards.** Any K-8 grade student who serves at least 50 hours in a 12-month period—and any older student who serves at least 100 hours in a 12-month period—may receive the President's Student Service Award. Students may be certified by schools, colleges, or community organizations and receive a pin, certificate, and a letter from the President. For more information, call (302) 622-9107 or visit www.student-service-awards.org

National Service-Learning Leader Schools. Through this presidential initiative, up to 100 high schools and 100 middle schools are recognized each year for excellence in service learning. These Leader Schools are then asked to help other schools start or improve their service-learning programs. For more information, call (800) 628-8442 or visit www.nationalservice.gov

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Training and Technical Assistance. The Corporation for National and Community Service links service and learning through a variety of programs and initiatives. For more information, visit www.nationalserviceresources.org.

D. National Senior Service Corps

Seniors are one of America's most vital resources—offering a wealth of experience and energy. The National Senior Service Corps is a network of more than half a million seniors who are making a difference as Foster Grandparents serving one-on-one with young people with special needs, as Senior Companions helping other seniors live independently in their homes, and as Retired and Senior Volunteer Program (RSVP) volunteers. These programs tap the experience, skills, talents, interests, and creativity of seniors 55 years of age and over.

Senior Corps members are committed to sharing their life experience in order to help solve critical local problems in the areas of education, public safety, the environment, and other human needs. Some help just a few hours a week. Others perform 20 hours or more of service every week. Senior Corps volunteers serve in all 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands.

Foster Grandparents provide invaluable aid to more than 80,000 children and youth with exceptional needs. In improving the lives of the children they serve, Foster Grandparents also profoundly enrich their own lives. Foster Grandparents serve 20 hours per week in schools, hospitals, correctional institutions, and Head Start centers. They help children who have been abused or neglected, mentor troubled teenagers and young mothers, and care for premature infants and children with physical disabilities.

Senior Companions provide assistance and friendship to seniors who have difficulty with their daily living tasks – helping them retain their independence rather than having to move to expensive institutionalized care. Senior Companions assist with chores such as paying bills, grocery shopping, and finding transportation to medical appointments. They usually serve two to four clients during their 20 hours of service each week. Senior Companions receive training in topics such as Alzheimer's disease, strokes, diabetes, and mental health.

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The Retired and Senior Volunteer Program (RSVP) is one of the largest volunteer efforts in the nation—matching local problems with people who are at least 55 years of age and willing to help. RSVP volunteers choose how and where they want to serve. Volunteers organize neighborhood watch programs, tutor immigrants who are learning English, program computers, help people recover from natural disasters—whatever their skills and interests lead them to do.

The Senior Corps: A Smart Investment. Besides the personal benefits to both the volunteers and the people who are served, Senior Corps programs make a valuable impact in communities for a minimal investment:

- Approximately 80,000 children, teenagers, and their families are supported by the services of Foster Grandparents every year.

- Nearly 24,000 Foster Grandparents contribute almost 22 million hours of service annually. The economic value of this service is $286 million—more than four times the federal dollars invested in the program.

- The Foster Grandparent Program's 1996 budget of $61.9 million was matched with $31.5 million dollars in cash and donations from states and the local communities in which the Foster Grandparents serve. This represents a nonfederal match of 51 cents for every dollar invested—well over the 10 percent match required by law.

- Almost 12,000 Senior Companions provide 11 million hours of service annually to help nearly 40,000 elderly individuals live independently. The estimated value of these services is almost $150 million—a five-fold return on federal dollars invested in the program.

- The average annual cost of nursing home care in the United States exceeds $38,000 per person. The annual cost for one Senior Companion serving 20 hours per week is $3,850.

- The Senior Companion Program's 1996 budget of $31 million was supplemented by $18.8 million in cash and in-kind donations from states and local communities in which Senior Companions serve. This represents a non-

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federal match of 61 percent, or 51 cents for every federal dollar invested—well over the 10 percent match required by law.

- Retired and Senior Volunteer Program (RSVP) volunteers provide more than 85 million hours of service annually to communities across the country. The value of this service is about $1.2 billion and represents a 35-fold return on the federal dollars invested in RSVP.

- Over 455,000 RSVP volunteers serve through more than 63,000 public and nonprofit community organizations.

- RSVP's 1996 federal budget of $34.3 million was matched with $38.9 million contributed by states, local governments, and the private sector, demonstrating broad support for RSVP across the country.

  The Corporation for National and Community Service offers opportunities for Americans of all ages and backgrounds to make their communities safer, healthier, and stronger through service. In addition to the National Senior Service Corps, the corporation oversees AmeriCorps and Learn and Serve America.

- For Additional Information on Senior Corps, please call:
  1 (800) 424-8867
  TDD: 1-(800) 833-3722

E. Interacting with the Corporation for National and Community Service

The Corporation for National and Community Service awards cooperative agreements that are signed by both parties, rather than traditional grant awards. This means that they play an active role in relation to tribal grantees. Corporation personnel are actively involved in negotiating objectives, budgets, and other aspects of the program with grantees. The Corporation adheres to the notion of "continuous improvement" and has made available a wide range of resources for this purpose. An entire network of training and technical assistance (T&TA) providers is available at no cost to assist programs in meeting continuous improvement needs. Progress reports and yearly grant reviews are a part of this process. Over the years, the Corporation has become aware of best practices from the field and is willing to pass that information on to programs. Visit

NOTES:

Epicenter, a collection of "effective practices" on the National Service Resource Center website at www.etr.org/nsrc or the Corporation website (www.nationalservice.gov) for more general resources. Program directors and staff should expect to engage in a cooperative, ongoing and active relationship with Corporation personnel.

Program directors may find themselves functioning as liaisons between the Corporation and their own tribal government administrators. This may be due to the cooperative nature of the AmeriCorps grant and its unfamiliarity to tribal administrators. Some of the more common areas where program directors may find themselves in a liaison role might include:

- explaining to tribal finance officers the need to track matching funds;
- documentation of in-kind contributions, and
- allocating and documenting percentages of staff time charged to the grant.

Directors may need to explain to their personnel department that the member living allowance is not a wage, and that members are not employees. Clarifying member status may lead to additional tribal personnel issues, such as determining whether members will use the tribal grievance procedure or follow other tribal personnel policies and procedures. These are all issues the program will need to work out between the Tribe's administrators and Corporation personnel.

Additionally, directors may need to inform the tribal council and other programs that they are adhering to a specific set of negotiated objectives and cannot be involved in any unapproved activities. Initially, the program director may be the only one aware of some of these issues and therefore should find a way to mediate between the tribe and the Corporation. Finally, the program directors may find themselves explaining the complexities of tribal government to CNS personnel. This may occur when programs are having difficulty addressing certain issues at the local level.

F. Corporation Personnel

It is important that program directors know whom to call at the Corporation and are comfortable in doing so. Developing relationships with your program and grants officers is very important. They can help resolve any problems that may arise, point you toward needed resources, and serve as your advocate within the larger

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organization. In most cases, programs should call their program officer directly with questions. However, there are certain situations in which it is appropriate for programs to call other personnel at CNS to discuss issues. The following information offers guidance on appropriate personnel to call in varying situations. When in doubt, do not hesitate to call your program officer.

G. CONTACT INFORMATION

- **Program Officer.** Call with general questions, issues related to program objectives, progress reports, member issues, and general program and grant activities. Your program officer should be your first point of contact at the Corporation.

  Name: Charndrea Leonard
  Number: 1-214-880-7053
  E-Mail: cleonard@cns.gov

  Name: Erin Dahlin
  Number: 202-606-6931
  E-Mail: edahlin@cns.gov

- **Grants Officer.** Call with specific questions related to the grantee's budget, such as adjusting budgets, questions on matching funds, and financial status reports.

  Name: Gregory Winn
  Number: 1-202-606-6977
  E-Mail: gwinn@cns.gov

- **National Service Trust.** Call when you have questions regarding enrolling and exiting members and the status of a member's educational award.

  Name: Gary Miller
  Number: 1-202-606-6955

NOTES:

- **Tribal Training and Technical Assistance.** ACKCO, Inc. is the training and technical assistance provider for the Corporation for National and Community Service. Call when you have questions about other areas of program management.

  Name: Brian King
  Number: 1-800-525-2859 Ext. 154
  E-mail: Brian.King@ackco.com

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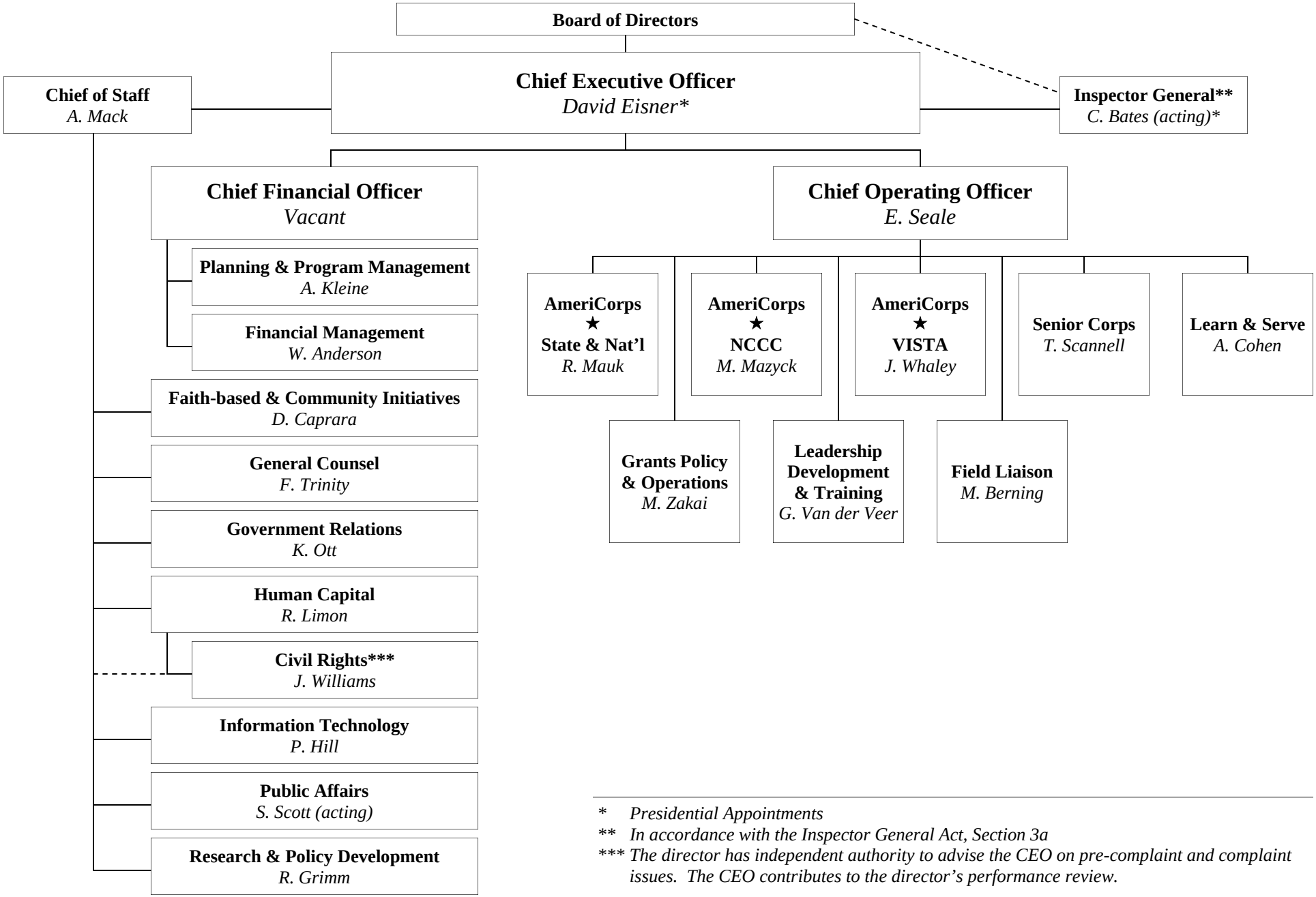
Corporation for NATIONAL & COMMUNITY SERVICE



* *Presidential Appointments*

** *In accordance with the Inspector General Act, Section 3a*

*** *The director has independent authority to advise the CEO on pre-complaint and complaint issues. The CEO contributes to the director's performance review.*

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CHAPTER 3
AMERICORPS PROGRAM REQUIREMENTS

A. INTRODUCTION

When a tribe accepts funds for an AmeriCorps program, the tribe is agreeing to comply with the requirements that are located in the following documents:

- The objectives and activities detailed in the tribe's AmeriCorps grant proposal submitted to the Corporation for National and Community Service and all modifications to the proposal that are approved by the Corporation.

- The approved budget for the AmeriCorps program, which includes the federal funds, tribal cash match, and tribal in-kind contributions.

- The AmeriCorps Provisions. The Corporation for National and Community Service issues AmeriCorps Special Provisions and General Provisions at the time of the grant award. The provisions incorporate regulations and Office of Management and Budget (OMB) circulars requiring adherence in the operation of programs.

The following sections of Chapter 3 will provide an overview of the AmeriCorps Regulations, Special and General Provisions, and the program and financial reporting requirements.

NOTES:

B. AmeriCorps Regulations Overview

This is only a summary. The tribe should review the complete regulations.

The governing regulations for the Corporation for National and Community Service AmeriCorps Program are located in 45 Code of Federal Regulations Chapter XXV. The regulations address the following subjects:

- Implementing Authority
- Freedom of Information and Privacy Act
- Service Learning Programs
- AmeriCorps Programs
- National Service Trust
- Innovative and Special Demonstration Programs
- Technical Assistance
- Uniform Administrative Requirements
- Senior Companion Program
- Foster Grandparent Program
- Retired and Senior Volunteer Program

For purposes of this manual, only the AmeriCorps program regulations will be covered. The AmeriCorps program regulations are located in Parts 2520 through 2524 of 45 CFR Chapter XXV.

NOTES:

Part 2520 – General Provisions: AmeriCorps Programs

The purpose of the AmeriCorps grant program is to provide financial assistance to support AmeriCorps programs that address education, public safety, and human or environmental needs through national and community service, and to provide AmeriCorps education awards to participants in such programs.

The service must either provide a direct benefit to the community where it is performed or involve the supervision of participants or volunteers whose service provides a direct benefit to the community where it is performed. The approved AmeriCorps activities must result in a specific identifiable service or improvement that otherwise would not be provided with existing funds or volunteers and that does not duplicate the routine functions of workers or displace paid employees. Programs must develop service opportunities that are appropriate to the skill levels of participants and that provide a demonstrable, identifiable benefit that is valued by the community.

Some activities are prohibited altogether. These will be covered under the grant evaluations.

PART 2521 – Eligible AmeriCorps Program Applicants and Types of Grant Awards Available

States (including Territories), subdivisions of States, Indian tribes, public or private nonprofit organizations (including labor organizations), and institutions of higher education are eligible to apply for AmeriCorps grants.

The corporation may make the following types of grants to eligible applicants:

NOTES:

- Planning grants - The purpose of a planning grant is to assist an applicant to complete the planning necessary to implement a sound concept that has already been developed.

- Operational grants - The purpose of an operational grant is to fund an organization that is ready to establish, operate, or expand an AmeriCorps program.

- AmeriCorps Educational Awards Only - The purpose of these awards is to provide AmeriCorps educational awards to programs that are not receiving or applying to the Corporation for program assistance but still meet the criteria for approved AmeriCorps positions and desire to provide an AmeriCorps educational award to participants serving in approved positions.

- Replication Grants - The Corporation may provide assistance for the replication of an existing national service program in another geographical location.

- Training, technical assistance, and other special grants - The purpose of these grants is to ensure broad access to the AmeriCorps program for all Americans, including those with disabilities, to support disaster relief efforts, to assist efforts to secure private support for programs through challenge grants, and to ensure program quality by supporting technical assistance and training programs.

  In any fiscal year, the Corporation will award AmeriCorps program grants as follows:

NOTES:

Grants to State Applicants

One-third of the funds available under this part and a corresponding allotment of AmeriCorps educational awards will be distributed according to a population-based formula. At least one-third of funds available under this part and an appropriate number of AmeriCorps educational awards will be awarded to States on a competitive basis.

Grants to Applicants other than States

1.) One percent of available funds will be distributed to the U.S. Territories.

2.) One percent of available funds will be reserved for distribution to Indian tribes on a competitive basis.

3.) The Corporation will use any funds remaining under this part after the award of the grants to make direct competitive grants.

4.) The Corporation will determine on an annual basis the appropriate number of educational awards available to eligible applicants who have not applied for program assistance.

5.) The Corporation will make grants for training, technical assistance, and other special programs described in part 2524 of this chapter at the Corporation's discretion.

6.) Matching funds will be covered under the "provisions" section of the manual.

NOTES:

PART 2522 – AmeriCorps Participants, Programs, and Applicants

Subpart A – Minimum Requirements and Program Types

All AmeriCorps programs must:

- Address educational, public safety, human, or environmental needs, and provide a direct and demonstrable benefit that is valued by the community in which the service is performed;
- Perform projects that are designed, implemented, and evaluated with extensive and broad-based local input;
- Obtain the written concurrence of any local labor organization representing the project sponsor's employees who are engaged in the same or substantially similar work as that proposed for performance by AmeriCorps participants;
- Establish and provide outcome objectives, including a strategy for achieving these objectives, and these will serve as the bases for self-assessments and Corporation assessments of program progress;
- Strengthen communities and encourage mutual respect and cooperation among citizens of different races, ethnic identities, socioeconomic backgrounds, and educational levels, including men, women, and individuals with disabilities;
- Agree to recruit actively participants and staff from the communities in which projects are conducted;
- Establish minimum qualifications for eligibility to participate in the program and determine the projects in which individual participants will serve;
- Comply with any pre-service orientation or training period requirement established by the Corporation to assist in the selection of motivated participants;

NOTES:

- Provide reasonable accommodations based on the individual needs of a participant with a disability;
- Use service experiences to help participants achieve the skills and education needed for productive, active citizenship;
- Provide participants with the training skills and knowledge necessary to perform the tasks required in their respective projects;
- Provide support to participants who are completing a term of service and making the transition to other educational and career opportunities, as well as to participants who are school dropouts, in order to assist them to earn the equivalent of a high school diploma;
- Ensure that participants who serve in approved AmeriCorps positions receive the living allowance and other benefits;
- Describe the manner in which AmeriCorps participants will receive living allowances and other benefits;
- Describe the manner in which the AmeriCorps educational awards will be apportioned among individuals serving in the program;
- Agree to identify the program through the use of logos, common application materials, and other means;
- Agree to begin terms of service at such times as the Corporation may reasonably require and to comply with any restrictions the Corporation may establish;
- Comply with all evaluation procedures specified by the Corporation;
- In the case of a program receiving funding directly from the Corporation, meet and consult with the State Commission for the state in which the program operates; and
- Address any other requirements as specified by the Corporation.

Types of programs eligible to compete for AmeriCorps grants include the following:

- *Specialized skills program.* A service program that is targeted to address specific educational, public safety, human, or environmental needs.
- *Specialized service program.* A community service program designed to meet the needs of rural communities.

NOTES:

- *Community development program.* A community corps program that meets educational, public safety, human or environmental needs and promotes greater community unity.
- *Service capacity expansion program.* A program that provides specialized service learning training to individuals and then places them in service learning positions.
- *Campus-based program.* A campus-based program that is designed to provide substantial service in a community.
- *Intergenerational program.* A program that combines students, out-of-school youth and young adults, and older adults as participants in community services.
- *Individualized placement program*. A program for an individual participant that includes regular group activities, such as leadership training and special service projects.
- Such other AmeriCorps programs addressing educational, public safety, human, or environmental needs.

Subpart B – Participant Eligibility, Requirements, and Benefits

ELIGIBILITY

An AmeriCorps Participant must:

- Be at least 17 years of age at the commencement of service;
- Be an out-of-school youth 16 years of age at the commencement of service and participating in a program described in 2522 110(b)(3) or (g);
- Have a high school diploma or its equivalent; and

NOTES:

- Not have dropped out of elementary or secondary school to enroll as an AmeriCorps participant, and must agree to obtain a high school diploma or its equivalent prior to using the education award.
- Produce primary documentation of status as a U.S. citizen or national.

An approved AmeriCorps program will recruit and select AmeriCorps participants locally, and the selection criteria will vary widely among the different programs. AmeriCorps programs must select their participants in a fair and non-discriminatory manner.

The Corporation and each State Commission will establish a system to recruit individuals who desire to perform national service and to assist the placement of these individuals in approved AmeriCorps positions.

TERMS OF SERVICE

In order to be eligible for the education award, participants serving in approval AmeriCorps positions must complete a term of service as defined below:

- Full-time service. 1,700 hours of service during a period of not less than nine months and not more than one year.
- Part-time service. 900 hours of service during a period of not more than two years, or, if the individual is enrolled in an institution of higher education while performing all or a portion of the service, not more than three years.
- Reduced part-time term of service. The Corporation may reduce the number of hours of service required to receive an educational award for certain part-time participants serving in approved AmeriCorps positions.
- Summer programs. A summer program, in which less than 1,700 hours of service is performed, is considered a part-time program.

NOTES:

- Restriction on multiple terms. An AmeriCorps participant may receive only the benefits for the first two successfully completed terms of service.
- Eligibility for second term. A participant will be eligible to serve a second or additional term of service only if the individual has received satisfactory performance review(s).

An AmeriCorps program may release a participant from completing a term of service for compelling personal circumstances as demonstrated by the participant, or for cause. This will be covered in greater detail under the provisions.

The financial benefits received by an AmeriCorps participant could include:

- AmeriCorps educational awards
- Living allowance
- Childcare
- Health Care

Subpart C – Application Requirements

All eligible applicants seeking AmeriCorps program grants must describe the specific program(s) being proposed, including the type of program and how it meets the minimum program requirements, and must comply with any additional requirements as specified by the Corporation in the application package.

Subpart D – Selection of AmeriCorps Program

From among the eligible applicants that meet the minimum program requirements, the Corporation must select the best applicants to receive funding.

NOTES:

The basic selection criteria for AmeriCorps programs include:

A. Program Impacts
   1.) Potential to achieve direct and demonstrable results
   2.) Ability to strengthen communities
   3.) Probability of promoting citizenship and increased educational opportunities for participants

B. Program Criteria
   1.) Program Design
      a. The innovative aspect of the AmeriCorps Program
      b. The feasibility of replicating the program
      c. The sustainability of the program

   2.) Organizational Capacity
      a. Quality of the leadership of the AmeriCorps program
      b. The past performance of the organization or program
      c. The extent to which the program builds on existing programs

Subpart E – Evaluation Requirements

Every evaluation effort should serve to improve program quality, examine benefits of service, or fulfill legislative requirements. All grantees and subgrantees are required to perform internal evaluations that are ongoing efforts to assess performance and improve quality. Grantees and subgrantees may, but are not required to, arrange for independent evaluations, which are assessments of program effectiveness by individuals who are not directly involved in the administration of the program.

The Corporation will evaluate programs based on the following:

- The extent to which the program meets the established objective(s).

NOTES:

- The extent to which the program is cost-effective.
- Criteria determined and published by the Corporation

The complete AmeriCorps regulations are located on page 3-42.

C. AMERICORPS GRANT PROVISIONS OVERVIEW

This is only a summary. The tribe should review the complete Special Provisions in the grant award.

1. Purposes of the Grant

The general purposes of the AmeriCorps grant are "Getting Things Done" in communities, strengthening the ties that bind communities together, and developing the citizenship and work skills of AmeriCorps members. Activities funded through the grant must help engage community members in community-based service that provides a direct and demonstrable benefit that is valued by the community.

2. Affiliation With The AmeriCorps National Service Network

The tribe must identify the program as an AmeriCorps Program and the members eligible for a Corporation-approved post-service education award as AmeriCorps members. The Tribe must use the AmeriCorps name and logo on service gear and public materials. The Tribe is encouraged to provide the core AmeriCorps Service Gear Package for each member. The core service gear package includes:

- AmeriCorps T-shirt
- AmeriCorps sweat jacket
- AmeriCorps cap
- AmeriCorps lapel pin
- AmeriCorps patches

NOTES:

- AmeriCorps business/ID cards
- AmeriCorps decals

The tribe agrees to arrange for members to participate in AmeriCorps events and activities sponsored by the Corporation for National and Community Service.

3. Local and State Consultation

Community Consultation. The tribe must design, implement and evaluate the funded project with extensive and broad-based community involvement.

Labor Union Concurrence. Prior to placement of members, the tribe must consult with local labor organizations representing project sponsors' employees who are engaged in the same or similar work.

State Commission Consultation. The tribe is encouraged to coordinate activities with the State Commission in the state that the program operates.

4. Prohibited Program Activities

The AmeriCorps staff and members cannot participate in the following activities:

- Attempting to influence legislation;
- Organizing or participating in protests, petitions, boycotts, or strikes;
- Union organizing or deterring union organizing;
- Impairing existing contracts for services or collective bargaining agreements;
- Partisan political activities;
- Religious instruction;
- Providing a direct benefit to a for-profit entity, labor union, partisan political organization, religious organization, or a nonprofit that does not comply with the restrictions of a 501(c)(3);
- Voter registration; and

NOTES:

- Other activities as directed by the Corporation for National and Community Service.

5. Fund Raising

The AmeriCorps staff and members may not participate in or perform organized fund raising.

6. Eligibility, Recruitment and Selection

- The tribe may select as AmeriCorps members only individuals who are U.S. citizens, U.S. nationals, or lawful permanent residents, seventeen (17) years of age unless in a full-time youth program, who have a high school diploma or equivalency certificate, or who agree to obtain a high school diploma or its equivalent.
- The tribe will recruit program members from the community and can supplement local recruitment with the Corporation's national recruitment.
- The tribe is responsible for establishing the minimum qualifications for membership, selecting members who meet those requirements, and assigning members to appropriate projects. The tribe cannot discriminate in the selection of members.
- The programs and activities must be accessible to persons with disabilities.
- The tribe must enroll the number of full-time and part-time members agreed upon in its approved application.
- AmeriCorps members are not employees of the tribe or the federal government and cannot perform employees' duties or displace employees.
- Individuals under the age of eighteen (18) must provide written consent from a parent or legal guardian.
- The tribe shall conduct a criminal record check for members and employees who have substantial direct contact with children.
- An AmeriCorps member who is officially charged with a violent felony or with the sale/distribution of a controlled substance during a term of

NOTES:

service will have his/her service suspended without a living allowance and without receiving credit for hours missed.

7. Training, Supervision and Support

- The tribe must have member position descriptions that provide for direct and meaningful service activities.
- The tribe must have members sign contracts that, at a minimum, include the following:

  1) Number of service hours necessary to complete the term of service
  2) Acceptable conduct
  3) Prohibited activities
  4) Requirements under the Drug-Free Workplace Act
  5) Suspension and termination rules
  6) Specific circumstances under which a member may be released
  7) Position Description
  8) Grievance procedures

- The tribe must provide the members with the training, skills, knowledge and supervision necessary to perform the task.
- The tribe will use service experiences to help members achieve the skills and education for productive, active citizenship.
- No more than 20% of the members' time may be devoted to training or other non-direct service activities.
- Performance reviews for each member must be done at least at mid-term and end-of-term.
- The tribe must provide specific support services to members who are school dropouts and/or are making a transition to other education and career opportunities at the end of service.
- The tribe must encourage members to register and vote.
- The tribe must allow members to serve on a jury.
- The tribe must report serious injuries to the Corporation Program Officer.

NOTES:

- The tribe must accommodate members of the Armed Forces Reserves. Please read the specific provision if a member is in the Armed Forces Reserves.

8. Terms of Service

The allowable terms of service include the following:

1) *Full-Time*. 1700 hours during a period of not less than nine months or more than one year.
2) *Part-Time*. 900 hours during a period of not more than two years.
3) *Reduced Part-Time*. 300 and 900 hours over a time not to exceed one year.

The other areas addressed in this provision that impact a member's term of service include:

1) Service for a second term
2) Notice to the Corporation's National Service Trust
3) Notice to Childcare and Health Care Providers
4) Changing Member Status

9. Release From Participation

The tribe may release members from participation for compelling personal circumstances or for cause:

NOTES:

- *Compelling Personal Circumstances.* The compelling circumstance must be beyond the member's control. Depending upon the individual circumstances, if the member has served 255 hours or 15% of term, the member is eligible for a portion of the education award.
- *For Cause.* The tribe may release a member for cause according to the conditions of the Corporation and the member's contract.
- *Resumption of Service.* The provision details the circumstances under which a member may resume services.

10. Minor Disciplinary Actions

The tribe may temporarily suspend or impose a fine on a member for minor disciplinary reasons outlined in the conditions of the member contract.

11. Living Allowances, Other In-Service Benefits and Taxes

All full-time members must receive a living allowance between $9,000 and $18,000. The Corporation will fund only 85 percent of the *minimum* living allowance amount, or $7,650 per full-time member. Programs that choose to provide a living allowance in excess of $9,000 must provide all funds over $7,650.

The tribe is not required to pay part-time members a living allowance. If the tribe does decide to pay part-time members a living allowance, the corporation will fund 85 percent of the requested amount up to the pro-rated amount required for full-time members.

The tribe can request a waiver of cash match for the 15 percent of the living allowance for which it is responsible.

Other considerations and requirements include:

NOTES:

- The living allowance must not be paid on an hourly basis. The amount should not fluctuate.
- The member may waive all or part of the living allowance payment and may revoke the waiver at any time.
- The tribe must have adequate liability insurance.
- The tribe is required to pay FICA taxes for any member receiving a living allowance.
- The tribe must withhold federal personal income taxes from member living allowances.
- The tribe cannot charge the cost of unemployment insurance taxes to the grant unless mandated by state law. This is based on a 1995 ruling that there is no employer-employee relationship.
- Worker's compensation in some form must be provided for members.
- The tribe must provide a health care policy. Minimum benefits of the policy are detailed in the provisions.
- The tribe must ensure that childcare is made available to full-time members who need such assistance in order to participate.
- AmeriCorps members who have served for at least 12 months and 1250 hours can take family and medical leave in accordance with the Family and Medical Leave Act.
- Work-study students may be enrolled as AmeriCorps members with approval by the Corporation.

12. Post-Service Education Awards

The tribe must certify to the National Service Trust that the member is eligible to receive the education benefit. The tribe must notify the National Service Trust (electronic submission via WBRS) when:

- The tribe enrolls a member for a term of service
- The member completes the term
- There is a change in the member's status during the term

NOTES:

A member may receive a post-service education award only for the first two terms of service.

13. Matching Requirements

The tribe must provide and account for the matching funds according to the approved application and budget. The Corporation requires, at a minimum, the following aggregate matches:

Member Support Costs: 15%

15% member support costs include living allowance, FICA, unemployment insurance (if mandated by state law), workers' compensation and health care. The match must be in cash with non-federal monies. P.L. 93-638 is considered non-federal and can be used to match member support costs.

The tribe can request a waiver of the cash match for member support costs if it does not have the resources to meet the match.

Program Operating Costs: 33%

Contributions including cash and third party in-kind can be used for the tribe's matching share for program operating costs if they meet the following criteria:

- They are verifiable using tribal financial records;
- They are not included as contributions for any other federally-assisted program;
- They are necessary and reasonable for accomplishment of program objectives; and
- They are allowable under the OMB A-87 cost principles.

Other Areas Addressed Under Matching Requirements:

1. *Cost Sharing*. A cash or in-kind matching contribution that exceeds the required minimum will be treated as cost sharing and should be reflected in the budget.

NOTES:

2. The value of direct community service performed by volunteers cannot be used to meet matching requirements.
3. Administrative costs that exceed 5% are allowable as matching funds but must comply with Clause 22 of the general provisions.
4. *Valuation*. The value of third-party and tribal contributions of services and property will be determined in accordance with OMB A-87 cost principles.

14. Member Records and Confidentiality

- *Record Keeping*. The tribe must maintain verifiable records that document each member's eligibility to serve, as well as completion of the program requirements.
- *No High School Diploma*. The tribe must keep records on any member who does not have a high school diploma and the written agreement to obtain a high school diploma.
- *Confidential Member Information*. The Tribe must maintain the confidentiality of information regarding individual members.

The member file will be covered in greater detail in Chapter Five of the manual.

15. Budget and Programmatic Changes

Prior written approval from the Corporation must be obtained before making any of the changes detailed below:

- Changes in the scope, objectives or goals of the program;
- Substantial changes in the level of participant supervision;
- Entering into sub-grants or contracts for program activities not identified in the approved application and grant;
- Reallocation of funds from the member support cost;
- Specific items of cost requiring approval under OMB Circular A-87; or
- Purchases of equipment over $5,000

NOTES:

The Corporation's Grants Officers are the only officials who have the authority to alter or change the provisions or requirements of the grant. The Grants Officers will execute written amendments or changes to the grant, and the tribe should not assume approval has been granted until documentation from the Grants Office has been received.

16. Reporting Requirements

Financial Status and Progress Reports
The tribe is encouraged to use the Web Based Reporting System (WBRS) for both the financial and program reports. The specific reports will be covered in greater detail in the next section of this Chapter. The reports include the following:

1) Financial Status Reports
2) Progress Reports
3) Annual/Final Reports
4) Final Financial Status Reports

AmeriCorps Member-Related Forms

1) Enrollment Form
2) Change of Status Form
3) Exit/End/Offer-of-Service Forms

Accomplishment Surveys

Benefit Provider Documentation

17. Grant Period and Incremental Funding

NOTES:

The standard AmeriCorps grant is for a three-year project period with a first-year budget period. Funding for the second and third years is contingent upon satisfactory progress and the availability of funds.

18. Performance Measurement and Evaluation

a. Performance Measurement. All grantees must establish, track, and evaluate performance measures for their programs.

b. Performance Measurement Requirements for Competitive versus Formula-type Programs. Relates to State Commissions.

c. Changes to Negotiated Performance Measures. Grantees must request approval from the Corporation prior to making a significant change to performance measures. A significant change may occur in the following types of circumstances:

- Refining the performance measure based on experience so that goals become more realistic and manageable.
- Replacing a measure related to one issue area with one related to an entirely different issue area.
- Redefining the work performed by individuals under the grant
- Eliminating an activity due to a failure to secure necessary matching funding
- Redefining the measure with another

d. Independent Evaluations. The tribe is encouraged to obtain an independent evaluation and must do so if provided for in the approved budget.

e. External Evaluation and Data Collection. The tribe must cooperate with the Corporation and its evaluators in all monitoring and evaluation efforts. As part of this effort, the tribe must collect and submit certain

NOTES:

member data, including the total number of members in the Program, and the number of members by race, ethnicity, gender, age, economic background, education level, disability classification and geographic region.

f. Accountability for Results. Eligibility for future funding may be contingent upon compliance with these provisions as well as satisfactory performance.

19. Legislative and Regulatory Authority

The AmeriCorps grant is authorized by and subject to the National and Community Service Act of 1990, as amended.

20. Other Applicable Statutory and Administrative Provisions

The following circulars and their implementing regulations apply to states, Indian tribes, U.S. territories, and local governments:

- 45 C.F.R. 2541 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- OMB Circular A-87 Cost Principles for State and Local Governments.
- OMB Circular A-133 Audits of States, Local Governments and Non-Profit Organizations
- The tribe must comply with all other applicable statutes, executive orders, regulations and policies governing the Program, the Grant Assurances and Certifications, and those cited in 45 C.F.R. Parts 2541 and 2543.

21. Responsibilities Under Grant Administration

Accountability.

The tribe has full fiscal and programmatic responsibility for managing all aspects of the grant, subject to the oversight of the Corporation.

NOTES:

Notice to Corporation.
The tribe will notify the appropriate Corporation's Program or Grants Officer immediately of any developments or delays that have a significant impact on funded activities.

Notice to the Corporation's Office of Inspector General.
The tribe will notify the Office of Inspector General immediately of losses of federal funds or goods/services supported with federal funds.

22. Financial Management Provisions

General.
The tribe must maintain financial management systems that include standard accounting practices, effective internal controls, a clear audit trail, and written cost allocation procedures.

a. Source Documentation. The tribe must maintain adequate supporting documents for all expenditures (federal and non-federal) and in-kind contributions made under this Grant.

b. Time and Attendance Records. The tribe must keep time and attendance records on all AmeriCorps members in order to document their eligibility for in-service and post-service benefits.

c. Audits. A tribal organization that expends $300,000 or more in total federal awards in a fiscal year is required to obtain a single audit for that year; the audit shall be conducted by an independent auditor in accordance with the Single Audit Act.

d. Consultant Services. Payments to individuals for consultant services under this Grant shall not exceed $443.00 per day.

NOTES:

23. Administrative Costs

a. Definitions. "Administrative costs" means general or centralized expenses of overall administration of an organization that receives Corporation funds and does not include particular program or project costs. For organizations that have an established indirect cost rate for federal awards, "administrative costs" means those costs that are included in the organization's indirect cost rate.

b. Limitation by Statute. Administrative costs cannot exceed 5% of total Corporation funds actually expended under this award.

c. Fixed 5%. If approved on a case-by-case basis by the Corporation, the tribe may charge a fixed 5% of the total of the Corporation funds expended for administrative costs. In order to charge this fixed 5%, the tribe's match for administrative costs may not exceed 10% of all direct cost expenditures. These rates may be used without supporting documentation and are in lieu of an indirect cost rate.

d. Indirect Cost Rates.

i. If a tribe has an approved indirect cost rate, evidence of that rate will constitute documentation of the tribe's administrative costs, including the 5% maximum payable by the Corporation and the tribal match of administrative costs.

ii. If a tribe wants to claim more than 10% match in administrative costs, it must have or obtain an approved indirect cost rate.

e. Consistency of Treatment. To be allowable under an award, costs must be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization.

NOTES:

24. Equipment and Supplies Costs

Equipment and supplies will be handled in accordance with 45 C.F.R. 2541 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Government.

25. Project Income

a. General. Income earned as a direct result of the Program's activities during the award period will be retained by the tribe and used to finance the non-Corporation share of the Program.

b. Fees for Service. When using assistance under this Grant, the tribe may not enter into a contract, or accept fees, for service performed by members when:

i. The service benefits a for-profit entity;
ii. The service falls within the other prohibited Program activities set forth in Clause 4 of these Grant Provisions; or
iii. The service violates the non-displacement Provisions of the Act set forth in Clause 31 of these Grant Provisions.

26. Payment Under the Grant

a. Advance Payments. The tribe may receive advance payments of Grant funds, provided the tribe meets the financial management standards specified in OMB Circular A-102 and its implementing regulations (45 C.F.R. 2541).

b. Immediate Cash Flow Needs. The amount of advance payments requested by the tribe must be based on actual and immediate cash needs in order to minimize federal cash on hand in accordance with policies established by the U.S. Department of the Treasury.

NOTES:

c. **Discontinuing Advance Payments.** If a tribe does not establish procedures to minimize the time elapsing between the receipt of the cash advance and its disbursement, the Corporation may, after providing due notice to the tribe, discontinue the advance payment method and allow payments in advance only by individual request and approval or by reimbursement.

d. **Interest-Bearing Accounts.** The tribe must deposit advance funds received from the Corporation in federally insured, interest-bearing accounts. Tribes may keep up to $100 of the earned interest per year to offset administrative expenses.

27. Retention of Records

The tribe must retain and make available all financial records, supporting documentation, statistical records, evaluation data, member information, and personnel records for three (3) years from the date of the submission of the final Financial Status Report (SF 269A). If an audit is started prior to the expiration of the three-year period, the records must be retained until the audit findings involving the records have been resolved and final action has been taken.

28. Site Visits

The Corporation reserves the right to make site visits to review and evaluate tribal records, accomplishments, organizational procedures, and financial control systems, to conduct interviews, and to provide technical assistance as necessary.

29. Liability and Safety Issues

a. **Liability Insurance Coverage.** The tribe must have adequate liability insurance coverage for the organization, employees, and members,

NOTES:

including coverage of members engaged in on- and off-site project activities.

b. Member Safety. The tribe must institute safeguards as necessary and appropriate to ensure the safety of members. Members may not participate in projects that pose undue safety risks.

30. Drug-Free Workplace

a. Notice to Employees and Members. The tribe must comply with the Drug-Free Workplace Act. The tribe must publish a statement notifying employees and members of the requirements of the Act.

b. Criminal Drug Convictions. The tribe's employees and members must notify the tribe in writing of any criminal drug convictions for a violation occurring in the workplace or during the performance of project activities.

c. Drug-Free Awareness Program. The tribe must establish a drug-free awareness program to inform employees and members about the dangers and consequences of drug use in the workplace.

d. Tribe Non-Compliance. The tribe is subject to suspension, termination, or debarment proceedings for failure to comply with the Drug-Free Workplace Act.

e. Non-Discrimination and Confidentiality Laws. In implementing the Drug-Free Workplace Act, the tribe must adhere to federal laws in its Grant assurances related to alcohol and substance abuse, non-discrimination and confidentiality.

31. Non-Discrimination

NOTES:

a. **Assurances.** The tribe must assure that its program or activity will be conducted, and its facilities will be operated, in compliance with the applicable statutes set forth below, as well as with their implementing regulations.

b. **Discrimination Prohibited.** A person, including a member, a service recipient, or Program staff, may not, on the grounds of race, color, national origin, sex, age, political affiliation, disability, or religion, be excluded from participation in, denied the benefits of, or otherwise subjected to discrimination, directly or through contractual or other arrangements, under any program or activity receiving federal financial assistance.

c. **Public Notice of Nondiscrimination**. The tribe must notify members, service recipients, applicants, Program staff, and the public, including those with impaired vision or hearing, that it operates its program or its activity subject to the nondiscrimination requirements of the applicable statutes.

d. **Records and Compliance Information.** The tribe must keep records and make available to the Corporation timely, complete and accurate compliance information to allow the Corporation to determine if the tribe is complying with the civil rights statutes and implementing regulations.

e. **Obligation to Cooperate.** The tribe must cooperate with the Corporation so that the Corporation can ensure compliance with the civil rights statutes and implementing regulations.

f. **Discrimination Complaints.** Investigations and Compliance Reviews. The Corporation may review the practices of the tribe to determine civil rights compliance.

NOTES:

g. Self-Evaluation Requirements. The tribe must comply with (1) the self-evaluation requirements under section 504 of the Rehabilitation Act regarding accessibility for individuals with disabilities; (2) the self-evaluation requirements of the Age Discrimination Act of 1975; and (3) the self-evaluation requirements under Title IX of the Education Amendments of 1972 regarding discrimination based on sex.

h. Applicable Statutes. In accordance with its assurances, the tribe must comply with all federal statutes relating to non-discrimination to the extent applicable.

32. Supplementation, Non-Duplication and Non-Displacement

a. Supplementation. Grant funds may not be used to replace state or local public funds that had been used to support programs or projects of the type eligible to receive Corporation Grant funds.

b. Non-Duplication. Grant funds may not be used to duplicate services that are available in the locality of a program or project.

c. Non-Displacement.

i. Prohibition on Displacing an Employee or a Position.
ii. Prohibition on Selecting an Employee for Participation.
iii. Prohibition on Promotional Infringement.
iv. Prohibition on Displacing Employee Services, Duties or Activities.
v. Prohibition on Supplanting, Hiring or Infringing on Recall Rights.

d. Other Prohibitions. A member in a program or project may not perform services of any:

i. Currently employed worker;
ii. Employee who recently resigned or was discharged;

NOTES:

iii. Employee who is subject to a reduction in force or who has recall rights pursuant to a collective bargaining agreement or applicable personnel procedures;

iv. Employee who is on leave (terminal, temporary, vacation, emergency or sick); or

v. Employee who is on strike or is being locked out.

33. Grievance Procedure

The tribe must establish and implement a process for filing and adjudicating grievances from members, labor organizations and other interested parties. There are a number of requirements, and the tribe should become familiar with and review the specific provision to insure that the tribe's grievance procedure complies with requirements.

34. Ownership and Sharing of Grant Products

a. **Ownership.** Unless otherwise specified, the tribe owns and may copyright any work that is subject to copyright, including software designs, training manuals, curricula, videotapes, and other products produced under the Grant. However, the tribe may not sell any work that includes an AmeriCorps logo without prior written approval from the Corporation.

b. **Corporation Use.** The Corporation retains royalty-free, non-exclusive, and irrevocable licenses to obtain, use, reproduce, publish, and/or disseminate products, including data, produced under the Grant and to authorize others to do so. The Corporation may distribute such products through a designated clearinghouse.

NOTES:

c. Sharing Grant Products. To the extent practical, the tribe agrees to make products produced under the Grant available at the cost of reproduction to others in the field.

35. Publication

a. Acknowledgment of Support. Publications created by members may include an AmeriCorps logo if they are consistent with the purposes of the Grant. The tribe is responsible for assuring that the following acknowledgment and disclaimer appears in any external report or publication of material based upon work supported by this Grant.

"This material is based upon work supported by the Corporation for National and Community Service under AmeriCorps Grant No. ____. Opinions or points of view expressed in this document are those of the authors and do not necessarily reflect the official position of, or a position that is endorsed by, the Corporation or the AmeriCorps Program."

b. Materials Provided to Corporation. The tribe is responsible for assuring that two copies of any such material are sent to the Corporation's Office of Public Affairs and Program Office.

36. Evaluation

a. Internal Evaluations. The tribe must track progress toward achievement of its program objectives. The tribe must also monitor the quality of service activities, the satisfaction of both service recipients and members, and management effectiveness.

b. Independent Evaluations. The tribe may obtain an independent evaluation if provided for in the approved budget.

NOTES:

c. External Evaluation and Data Collection. The tribe must cooperate with the Corporation and its evaluators in all monitoring and evaluation efforts.

37. Suspension or Termination of Grant

a. Suspension of the Grant. In an emergency situation, the Corporation may suspend a Grant for not more than 30 calendar days. Examples of such emergency situations may include, but are not limited to:

i. Serious risk to persons or property;
ii. Violations of federal, state, or local criminal statutes; and
iii. Material violation(s) of the Grant or contract that are sufficiently serious that they outweigh the general policy in favor of advance notice and opportunity to show cause.

b. Termination of the Grant. Pursuant to 45 C.F.R. 2540.400, the Corporation may terminate payments under the grant, revoke the designated member positions, or recover Grant funds for failure to comply with applicable provisions of this Grant

38. Order of Precedence

Should there be any inconsistency among the Grant Award, the AmeriCorps Special Provisions, the General Provisions, and the approved Grant Application, the order of precedence that will prevail is (1) Grant Award, (2) the AmeriCorps Special Provisions, (3) the General Provisions, and (4) the approved Grant Application.

Corporation for National and Community Service Civil Rights Statement Regarding Volunteers, Service Participants and Other Beneficiaries. The Corporation's Equal Opportunity Office attempts to resolve concerns about discrimination promptly and when possible use an informal conciliation process to do so. We encourage, but do not require, volunteers, service

NOTES:

participants, and other beneficiaries to first bring concerns about discrimination to the director or appropriate personnel of the program or project. We likewise encourage directors of programs and projects to facilitate prompt resolution of these concerns.

The complete special and general provisions are located in Section F.

D. REPORTING REQUIREMENTS

1. Web-Based Reporting System

In 2000-2001, AmeriCorps programs began to use the Web-Based Reporting System (WBRS) to report electronically to the Corporation for National and Community Service. WBRS allows tribes to:

- Electronically enroll members, change their status, and remove members from programs
- Submit the progress reports to the Corporation
- Compile and submit financial status reports to the Corporation

The tribes will no longer use paper forms to meet the reporting requirements for the AmeriCorps grant. The advantages of using an electronic system for reporting are that:

- Data integrity is preserved since only one data set exists. All the users at the tribe always access the same set of forms, which eliminates the problem of different versions of forms being used. Also, the documents inherit information from one another, so there is automatic agreement of information on all forms.

- Information moves faster. Each individual with WBRS access who needs to see data on a submitted form will be able to access it immediately after it is submitted.

NOTES:

- Repetition of data entry is eliminated because the system inherits information as needed on different forms.
- Data re automatically validated.
- Calculations are performed automatically. The system will automatically perform calculations such as member hours and expenditures.

The Web-Based Reporting System can be accessed at http://wbrs.net.

2. Progress Reports

The information to be provided on the progress report includes the following:

- Tribal and grant information.
- Number of members who are full-time, number of members who are part-time and number of members who are two-year part-time.
- Number of member service hours for full-time members and the number of member service hours for part-time/other members. The hours are to be provided for the reporting period and the entire program year.
- Number of non-AmeriCorps volunteers and the volunteer hours for the reporting period, prior reporting period, and the entire year.
- Information about the service activities in which non-AmeriCorps member volunteers participated during the reporting period.
- Summary of progress towards accomplishing the annual objectives. The objectives are categorized as follows:

NOTES:

a. Getting Things Done
b. Member Development
c. Community Strengthening

- Other accomplishments during the reporting period that do not relate to the specific objectives.

- Any success stories from the reporting period.

- Problems that were encountered during the reporting period, whether they have been resolved, and, if so, how they were resolved.

- Significant program changes during the reporting period.

A copy of a progress report form is located on the following page.

NOTES:

AmeriCorps
Progress Report

1. Program Name
2. Grant ID#
3. State Commission, Parent Organization or Tribal Program Name
4. Name of person completing report
5. Title of person completing this report
6. Program Start Date
7. Program End Date
8. Reporting period to which this form applies
9. Telephone number
   Fax number
   E-mail address

_____

_____

Part 1: Programmatic Information

10. Number of Members

		Regular Members				Ed Award Only (sub-title – C)			
		Full time 1700 hours	Part time 900 hours	Two-year part-time 450 hours	Summer /Other	Full time 1700 hours	Part time 900 hours	Two-year part-time 450 hours	Summer /Other
A.	Number of members granted to your program for the current program year	0	0	0	0	0	0	0	0
B.	Number of enrolled members at the end of this reporting period	0	0	0	0	0	0	0	0
C.	Number of members newly enrolled—during this reporting period	0	0	0	0	0	0	0	0

D.	--cumulatively for the year	0	0	0	0	0	0	0	0
E.	Number of members who left for compelling personal circumstances and earned a pro-rated award –during this reporting period	0	0	0	0	0	0	0	0
F.	--cumulatively for the year	0	0	0	0	0	0	0	0
G.	Number of members who left for other than compelling personal circumstances (no award)—this reporting period	0	0	0	0	0	0	0	0
H.	--cumulatively for the year	0	0	0	0	0	0	0	0
I.	Number of members whose terms ended (with an ED award) –this reporting report								
J.	--cumulatively for the year								
K.	TOTAL -- line D minus (F + H) (the number of members enrolled minus all who have left). If this total does not equal line A, please explain below.	0	0	0	0	0	0	0	0

L.	Number of members from this year who you expect will serve beyond the Program End date noted above. Please explain below	

Comments/Explanatory Notes

11. Member Service Hours

AmeriCorps Members' Hours of Service	In this reporting Period	For the entire program year
Full-time members:	0	0
Part-time /Other members:	0	0

12. (A) Please provide estimates of the following information.

Volunteer Generation
Volunteers are individuals recruited or directly supervised by AmeriCorps members who participate in direct service projects that help the program achieve its community service objectives. They are additional volunteers, new to the program or activity, whose presence is made possible by the AmeriCorps members. They are not program partners, advisory board members, or volunteers supporting the program or member trainings, or staff.

	In this reporting period	Prior Period Total	For the entire program year
NON-AmeriCorps volunteers involved in AmeriCorps service activities	*0*	*0*	*0*
NON-AmeriCorps Members Hours of Service:	*0*	*0*	*0*

12. (B) Share with us some examples of the service activities in which your non-AmeriCorps member volunteers participated during this reporting period.

Summary of Quarterly Progress toward Accomplishing Annual Objectives
You will see your objectives reproduced below. In the "Progress This Quarter" box below each objective, provide information about activities, results, measures, standards,

and beneficiaries for both the reporting period and the year to date. Please state whether you are on track, behind, or ahead of projected results at this point in time.

13. (A) Getting Things Done Objectives:

Objective1	
Progress This Quarter	**Actual:**
Quarter 2	
Progress This Quarter	**Actual:**
Quarter 3	
Progress This Quarter	**Actual:**
Quarter 4	
Progress This Quarter	**Actual:**
Quarter 5	
Progress This Quarter	**Actual:**

13. (B) Member Development Objective:

Objective1	
Progress This Quarter	**Actual:**
Quarter 2	
Progress This Quarter	**Actual:**
Quarter 3	
Progress This Quarter	**Actual:**
Quarter 4	
Progress This Quarter	**Actual:**
Quarter 5	
Progress This Quarter	**Actual:**

13. (C) Community Strengthening Objectives

Objective1	
Progress This Quarter	**Actual:**
Quarter 2	
Progress This Quarter	**Actual:**
Quarter 3	
Progress This Quarter	**Actual:**
Quarter 4	
Progress This Quarter	**Actual:**
Quarter 5	
Progress This Quarter	**Actual:**

14. Other accomplishments this reporting period

(Make note of any accomplishments or "things gotten done" not directly related to your progress toward meeting your objectives. Examples include selecting and training staff to operate the program site and supervise members; developing good working relationships with service placement sites and preparing them to assist the AmeriCorps members; AmeriCorps Leader activities; meetings; match requirements; and progress in local collaborations.)

15. Unique successes or "great stories"

(Describe any incidences or experiences from this quarter that clearly show how AmeriCorps gets things done. Particularly helpful are stories that include numerical results and creative solutions.)

16. Problems encountered this quarter and actions taken to resolve them

(Report on problems resolved or unresolved obstacles to achieving program objectives, identified causes of significant delays, program elements not meeting expectations, events or incidents that caused concern. Note steps being taken to address identified issues or note how issues have been resolved. Please include progress on any issues identified during grant negotiations, site visits, or in previous progress reports.)

17. Significant program changes this reporting period

(Report staff turnover in management or supervisory positions, changes in partner/sponsor relationships, changes in board membership, AmeriCorps member attrition, service sites and other significant changes.)

A Grantee Progress Report (GPR) is due in WBRS on the first Monday in December, 2005 for the period October 1, 2004 through September 30, 2005.

Financial Status Reports - The grantee shall submit semi-annual cumulative financial status reports summarizing expenditures during the reporting period using eGrants (Financial Status Reports menu tree). Financial Status Report deadlines are:

Due Date	Reporting Period Covered
April 30	Start of grant through March 31

Final Financial Status Reports--A Grantee completing the final year of its grant must submit, in lieu of the last semi-annual FSR, a final FSR that is cumulative over the entire project period. This FSR is due within 90 days after the end of the grant.

PART 2520 – GENERAL PROVISIONS: AMERICORPS PROGRAM

Sections:

2520.10.1 What is the purpose of the AmeriCorps program described in parts 2524 of this chapter?
2520.20 What types of service activities are allowable for programs supported under parts 2520 through 2524 of this chapter?
2520 Are there any activities that are prohibited?

AUTHORITY: 42 U.S.C. 12501 *et seq.*

SOURCE: 59 FR 13794, Mar. 23, 1994, unless otherwise noted.

§ 2520.10 What is the purpose of the AmeriCorps program described in parts 2520 through 2524 of this chapter?

The purpose of the AmeriCorps grant program is to provide financial assistance to support AmeriCorps programs that address educational, public safety, human, or environmental needs through national and community service and provide AmeriCorps education awards to participants in such programs.

§ 2520. 20 What type of service activities are allowed for program supported under parts 2520 through 2524 of this chapter?

(a) The service must either provide a direct benefit to the community where it is performed, or involve the supervision of participants or volunteers whose service provides a direct benefit to the community where it is performed. Moreover, the approved AmeriCorps activities must result in a specific identifiable service or improvement that otherwise would not be provided with existing funds or volunteers and that does not duplicate the routine functions of workers or displace paid employees. Programs must develop service opportunities that are appropriate to the skill level of participants and that provide a demonstrable, identifiable benefit that is valued by the community.

(b) In certain circumstances, some activities may not provide a direct benefit to the communities in which the service is performed. Such activities may include but are not limited to clerical work and research. However, a participant may engage in such

activities if the performance of the activity is incidental to the participant's provision of service that does provide a direct benefit to the community in which the service is performed.

§ 2520.30 Are there any activities that are prohibited?

Yes. Some activities are prohibited altogether. Although all prohibited activities may be performed voluntarily by participants on their own time, they may not be performed by participants in the course of their duties, at the request of program staff, or in a manner that would associate the activities with the AmeriCorps program or the Corporation. These activities include:

(a) Any effort to influence legislation; as prohibited under section 501(c) of the Internal Revenue Code of 1986 (26 U.S.C. 501(c);

(b) Organizing protests, petitions, boycotts, or strikes;

(c) Assisting, promoting, or deterring union organizing;

(d) Impairing existing contracts for service or collective bargaining agreements;

(e) Engage in partisan political activities, or other activities designed to influence the outcome of an election to any public office;

(f) Engaging in religious instruction, conducting worship services, providing instruction as part of a program that includes mandatory religious instruction or worship, constructing or operating facilities devoted to religious instruction or worship, or engaging in any form of religious proselytization.

(g) Providing a direct benefit to—

(1) Business organized for profit;

(2) A labor union;

(3) A partisan political organization;

(4) A nonprofit organization that fails to comply with the restriction contained in section 501(c) of the Internal Revenue Code of 1986, except that nothing in this section shall be construed to prevent participants from engaging in advocacy activities undertaken at their own initiative; and

(5) An organization engaged in the religious activities described in paragraph (e) of this section, unless Corporation assistance is not used to support those religious activities; and

(h) Such other activities as the Corporation may prohibit.

PART 2521 – ELIGIBLE AMERICORPS PROGRAM APPLICANTS AND TYPES OF GRANTS AVALIABLE FOR AWARD

Sections:

2521-10 Who may apply to receive an AmeriCorps grants?
2521-20 What types of AmeriCorps program grant are available for award?
2521.30 How will AmeriCorps Program grants be awarded?

AUTHORITY: 42 U.S.C. 12501 *et seq.*

SOURCE 59 FR 13794, Mar. 23, 1994, unless otherwise noted.

§ 2521.10 Who may apply to receive an AmeriCorps grant?

(a) State (including Territories), subdivisions of States, Indian tribes, public or private nonprofit organizations (including labor organizations), and institutions of higher education are eligible to apply for AmeriCorps grants. However, the fifty States, the District of Columbia and Puerto Rico must first receive Corporation authorization for the use of a State Commission or alternative administrative or transitional entity pursuant to part 2550 of this chapter in order to be eligible for an AmeriCorps grant.

(b) The Corporation may also enter into contracts or cooperative agreements for AmeriCorps assistance with Federal agencies that are Executive Branch agencies or departments. Bureaus, divisions, and local regional offices of such departments and agencies may only receive assistance pursuant to a contract or agreement with the central department or agency. The requirements relating to Federal agencies are described in part 2523 of this chapter.

§ 2521.20 What types of AmeriCorps program grants are available for award?

The Corporation may make the following types of grants to eligible applicants. The requirements of this section will also apply to any State or other applicant receiving assistance under this part that proposes to conduct a grant program using the assistance to support other national or community service programs.

(a) Planning grants--(1) P*urpose.* The purpose of a planning grant is to assist an applicant in completing the planning necessary to implement a sound concept that has already been developed.

(2) *Eligibility.* (i) States may apply directly to the Corporation for planning grants

(ii) Subdivisions of States, Indian Tribes, public or private nonprofit organizations (including labor organizations), and institutions of higher education may apply either to a State or directly to the Corporation for planning grants.

(3) Duration. A planning grant will be negotiated for a term not to exceed one year.

(b) *Operational grants. (1) Purpose.* The purpose of an operational grant is to fund an organization that is ready to establish, operate, or expand an AmeriCorps program. An operational grant may include AmeriCorps educational awards. An operational grant may also include a short planning period of up to six months, if necessary, to implement a program.

(2) *Eligibility.* (i) States may apply directly to the Corporation for operational grants;

(ii) Subdivisions of States, Indian Tribes, public or private nonprofit organizations (including labor organizations), and institutions of higher education may apply either to a State or directly to the Corporation for operational grants. The Corporation may limit the categories of applicants eligible to apply directly to the Corporation for assistance under this section consistent with its National priorities.

(3) *Duration*. An operational grant will be negotiated for a term not to exceed three years. Within a three-year term, renewal funding will be contingent upon periodic assessment of program quality, progress to date, and availability of Congressional appropriations.

(c) *AmeriCorps Educational Awards Only.—(1) Purpose.* The purpose of these awards is to provide AmeriCorps educational awards to programs that are not receiving or applying to the Corporation for program assistance but that meet the criteria for approved AmeriCorps positions, and desire to provide an AmeriCorps educational award to participants serving in approved positions. *(2) Eligibility*. States, subdivisions of States, Indian Tribes, Federal agencies, public or private nonprofit organizations (including labor organizations), and institutions of higher education may apply directly to the Corporation for AmeriCorps educational awards only.

(d) *Replication Grants.* The Corporation may provide assistance for the replication of an existing national service program to another geographical location.

(e) *Training, technical assistance and other special grants. – (1) Purpose.* The purpose of these grants is to ensure broad access to AmeriCorps programs for all Americans, including those with disabilities; support disaster relief efforts; assist efforts to secure private support for programs through challenge grants; and ensure program quality by supporting technical assistance and training programs.

(2) *Eligibility.* Eligibility varies and is detailed under 45 CFR part 2524, "Technical Assistance and Other Special Grants."

(3) Du*ration*. Grants will be negotiated for a renewable term of up to three years.

§ 2521.30 How will AmeriCorps Program Grants be Awarded?

In any fiscal year, the Corporation will award AmeriCorps program grants as follows:

(a) Grants to State Applicants

(1) For the purpose of this section, the term "State" means the fifty States, Puerto Rico, and the District of Columbia.

(2) One-third of the funds available under this part and a corresponding allotment of AmeriCorps educational awards, as specified by the Corporation, will be distributed according to a population-based formula to the 50 States, Puerto Rico and the District of Columbia if they have applications approved by the Corporation.

(3) At least one-third of funds available under this part and an appropriate number of AmeriCorps awards, as determined by the Corporation, will be awarded to States on a competitive basis. In order to receive these funds, a State must receive funds under paragraphs (a) (2) or (b) (1) of this section in the same fiscal year.

(4) In making subgrants with funds awarded by formula or competition under paragraphs (a)(2) or (3) of this section, a State must:

(i) Provide a description of the process used to select programs for funding including a certification that the State or other entity used a competitive process and criteria that were consistent with the selection criteria in §2522.410 of this chapter. In making such competitive selections, the State must ensure the equitable allocation within the State of assistance and approved AmeriCorps positions provided under this subtitle to the State taking into consideration such factors as the location of the programs applying to the State, population density, and economic distress;

(ii) Provide a written assurance that not less than 60 percent of the assistance provided to the State will be used to make grants in support of AmeriCorps programs other than AmeriCorps programs carried out by the State or a State agency. The

Corporation may permit a State to deviate from this percentage if the State demonstrates that it did not receive a sufficient number of acceptable applications; and

(iii) Ensure that a minimum of 50 percent of funds going to State will be used for programs that operate in the areas of need or on Federal or other public lands, and that place a priority on recruiting participants who are residents in high need areas, or on federal or other public lands. The Corporation may waive this requirement for an individual State if at least 50 percent of the total amount of assistance to all States will be used for such programs.

(b) Grants to Applicants other than States.

(1) One percent of available funds will be distributed to the U.S. Territories [1] that have applications approved by the Corporation according to a population-based formula. [2]

(2) One percent of available funds will be reserved for distribution to Indian tribes on a competitive basis.

The Corporation will use any funds available under this part remaining after the award of the grants described in paragraphs (a) and (b) (1) and (2) of this section to make direct competitive grants to subdivisions of States, Indian tribes, public or private nonprofit organizations (including labor organizations), institutions of higher education, and Federal agencies. No more than one-third of these remaining funds may be awarded to Federal agencies.

Allocation of AmeriCorps educational awards only. The Corporation will determine on an annual basis the appropriate number of educational awards to make available for eligible applicants who have not applied for program assistance.

Effect of States; or Territories; failure to apply. If a State of U.S. Territory does not apply for or fails to give adequate notice of its intent to apply for a formula-based grant as announced by the Corporation and published in the Notice of Funds Availability, the Corporation will use the amount of that State's allotment to make grants to eligible entities to carry out AmeriCorps programs in that State or Territory. Any funds remaining from that State's allotment after making such grants will be reallocated to the States, Territories, and Indian Tribes with approved AmeriCorps applications at the Corporation's discretion.

(c) Effect of rejection of State application. If a State's application for a formula-based grant is ultimately rejected by the Corporation pursuant to § 2522.320 of this chapter, the State's allotment will be available for redistribution by the Corporation to the States, Territories, and Indian Tribes with approved AmeriCorps applications as the Corporation deems appropriate.

(d) The Corporation will make grants for training, technical assistance and other special programs described in part 2524 of this chapter at the Corporation's discretion.

(e) Matching funds--

(1) Requirements.

(i) The matching requirements for participant benefits are specified in §2522.240(B)(5) of this chapter.

(ii) The Corporation share of other AmeriCorps program costs may not exceed 75 percent, whether the assistance is provided directly or as a subgrant from the original recipient of the assistance.

(iii) These matching requirements apply only to programs receiving assistance under parts 2521 through 2524 of this chapter.

(2) Calculation. In providing for the remaining share of other AmeriCorps program costs, the program--

(i) Must provide for its share through a payment in cash or in-kind, fairly evaluated, including facilities, equipment, or services; and

(ii) May provide for its share through State Sources, local sources, or other Federal sources (other than funds made available by the Corporation).

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[1] The United States, Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Palau (until such time as the Compact of Free Association with Palau is ratified).

[2] The Amount allotted as a grant to each such territory or possession is equal to the ratio of each such Territory's population to the population of all such territories multiplied by the amount of the one percent set-aside.

(3) Limitation on cost of health care. A program may not count more than 85 percent of a cash payment for the cost of providing a health care policy toward its 15 percent remaining share under paragraph (g)(2)(i) of this section.

(4) Waiver. The Corporation reserves the right to waive, in whole or in part, the requirements of paragraph (g) (1) of this section if the Corporation determines that a waiver would be equitable due to lack of available financial resources at the local level.

(h)(1) Not more than five percent of the grant funds provided under this part of any fiscal year may be used to pay for administrative costs, as defined in §2510.20 of this chapter.

(2) The distribution of administrative costs between the grant and any subgrant will be subject to the approval of the Corporation.

(3) In applying the limitations on administrative costs, the Corporation will approve one of the following methods in the award document:

(i) Limit the amount or rate of indirect costs that may be paid with Corporation funds under a grant or subgrant to five percent of total Corporation funds expended, provided that--

(A) Organizations that have an established indirect cost rate for Federal awards will be limited to this method; and

(B) Unreimbursed indirect costs may be applied to meeting operational matching requirements under the Corporation's award;

(ii) Specify that a fixed rate of five percent or less (not subject to supporting costs documentation) of total Corporation funds expended may be used to pay for administrative costs, provided that the fixed rate is in conjunction with an overall 15 percent administrative costs factor to be used for organizations that do not have established indirect cost rates; or

(iii) Utilize such other methods that the Corporation determines in writing is consistent with OMB guidance and other applicable requirements, helps minimize the burden on grantees or subgrantees, and is beneficial to grantees or subgrantees and the Federal Government.

[59 FR 13794, Mar. 23, 1994, as amended at 63 FR 18138, Apr. 14, 1998]

PART 2522 – AMERICORPS PARTICIANTS, PROGRAMS, AND APPLICANTS

Subpart A – Minimum requirements and Program Types

Sections:

2522.100 What are the minimum requirements that every AmeriCorps Program, regardless of type, must meet?
2522.110 What types of programs are eligible to compete for AmeriCorps grants?

Subpart B – Participant Eligibility, Requirements, and Benefits

Sections:

2522.200 What are the eligibility requirements for an AmeriCorps Participant?
2522.210 How are AmeriCorps participants recruited and selected?

2522.230 Under what circumstances may AmeriCorps participants be released from completing a term of service, and what are the consequences?
2522.240 What financial benefits do AmeriCorps participants serving in approved AmeriCorps positions receive?
2522.250 What other benefits do AmeriCorps participants serving in approved AmeriCorps positions receive?

Subpart C – Application Requirements

Sections:

2522.300 What are the application requirements for AmeriCorps program grants?
2522.310 What are the application requirements for AmeriCorps educational awards only?
2522.320 May an applicant submit more than one application to the Corporation for the same project at the same time?

Subpart D – Selection of AmeriCorps Program

Sections:

2522.400 Who will the basic selection criteria be applied?
2522.410 What are the basic selection criteria for AmeriCorps programs?
2522.420 Can a State's application for formula funds be rejected?

Subpart E – Evaluation Requirements

Sections:

2522.500 What are the purposes of an evaluation?
2522.510 What types of evaluations are States, grant-making entities, and program required to perform?
2522.520 What types of internal evaluation activities are required of programs?
2522.530 What types of activities are required of States or grant making entities to evaluate the effectiveness of their Subgrantees?
2522.540 How will the Corporation evaluate individual AmeriCorps programs?
2522.550 What will the Corporation do to evaluate the overall success of the AmeriCorps programs?
2522.560 Will information on individual participants be kept confidential?

AUTHORITY: 42 U.S.C. 12501 *et seq.*

SOURCE: 59 FR 13796, Mar, 23, 1994, unless otherwise noted

Subpart A – Minimum Requirement and Program Types

§ 2522.100 What are the minimum requirements that every AmeriCorps Program, regardless of type, must meet?

Although a wide range of programs may be eligible to apply for and receive support from the Corporation, all AmeriCorps programs must meet certain minimum program requirements. These requirements apply regardless of whether a program is supported directly by the Corporation or through a subgrant. All AmeriCorps programs must:

(a) Address educational, public safety, human, or environmental needs, and provide a direct and demonstrable benefit that is valued by the community in which the service is performed;

(b) Perform projects that are designed, implemented, and evaluated with extensive and broad-based local input, including consultation with representatives from the community served, participants (or potential participants) in the program, community-based agencies with a demonstrated record of experience in providing service, and local labor organizations representing employees of project sponsors (if such entities exist in the area to be served by the program);

(c) Obtain, in the case of a program that also proposes to serve as the project sponsor, the written concurrence of any local labor organization representing employees of the project sponsor who are engaged in the same or substantially similar work as that proposed to be carried out by the AmeriCorps participant;

(d) Establish and provide outcomes objectives, including a strategy for achieving these objectives, based upon which self-assessment and Corporation- assessment of progress can rest. Such assessment will be used to help determine the extent to which the program has had a positive impact:

(1) On communities and persons served by the project performed by the program;

(2) On participants who take part in the projects; and

(3) In such other areas as the program or Corporation may specify;

(4) Strengthen communities and encourage mutual respect and cooperation among citizens of different races, ethnicities, socioeconomic background, educational levels, both men and women, and individuals with disabilities;

(e) Agree to seek actively to include participants and staff from the community in which projects are conducted, and agree to seek program staff and participants of different races and ethnicities, socioeconomic backgrounds educational levels and genders as well as individuals with disabilities unless a program design requires emphasizing the recruitment of staff and participants who share a specific characteristic or background. In no case may a program violate the nondiscrimination, non-duplication and non-displacement rules governing participant selection described in part 2540 of this chapter. In addition, programs are encouraged to establish, if consistent with the purposes of the program, an intergenerational component that combines students, out-of-school youths, and older adults as participants;

(g)((1) Determine the project in which participants will serve and establish minimum qualifications that individuals must meet to be eligible to participate in the program; these qualifications may vary based on the specific tasks to be performed by participants. Regardless of the educational level or background of participants sought, programs are encouraged to select individuals who possess leadership potential and a commitment to the goals of the AmeriCorps program. In any case, programs must select participants in a non-partisan, non-political, non-discriminatory manner, ensuring fair access to participation. In addition, programs are required to ensure that they do

not displace any existing paid employee as provided in part 2540 of this chapter. To this end, programs may not select any prospective participant who is or was previously employed by a prospective project sponsor within six months of the time of enrollment in the program;

(2) In addition, all programs are required to comply with any pre-service orientation or training period requirement established by the Corporation to assist in the selection of motivated participants. Finally, all programs must agree to select a percentage (to be determined by the Corporation) of the participants for the program from among prospective participants recruited by the Corporation or State Commission under part 2532 of this chapter. The Corporation may also specify a minimum percentage of participants to be selected from the national leadership pool established under §2522.210(c). For the purpose of complying with this provision, AmeriCorps programs may apply for additional financial assistance from the Corporation pursuant to §2524.40 of this chapter;

(3) (h) Provide reasonable accommodation, including auxiliary aids and services (as defined in section 3(1) of the American with Disabilities Act of 1990 (42 U.S.C. 12102(1), based on the individualized need of a participant who is a qualified individual with a disability (as defined in section 101(8) of such Act (42 U.S.C. 12111(8). For the purpose of complying with this provision, AmeriCorps programs may apply for additional financial assistance from the Corporation pursuant to §2524.40 of this chapter;

(i) Use service experiences to help participants achieve the skills and education needed for productive, active citizenship, including the provision, if appropriate, of structured opportunities for participants to reflect on their service experience. In addition, all programs must encourage every participant who is eligible to vote to register prior to completing a term of service;

(j) Provide participants in the program with the training, skills, and knowledge necessary to perform the tasks required in their respective projects, including, if appropriate, specific training in a particular field and background information on the community, including why the service projects are needed;

(k) Provide support services--

(1) To participants who are completing a term of service and making the transition to other educational and career opportunities; and

(2) To those participants who are school dropouts in order to assist them in earning the equivalent of a high school diploma;

(l) Ensure that participants serving in approved AmeriCorps positions receive the living allowance and other benefits described in §§ 2522.240 through 2522.250 of this chapter;

(m) Describe the manner in which the AmeriCorps educational awards will be apportioned among individuals serving in the program. If a program proposes to provide such benefits to less than 100 percent of the participants in the program, the program must provide a compelling rationale for determining which participants will receive the benefits and which participants will not. AmeriCorps programs are strongly encouraged to offer alternative post-service benefits to participants who will not receive AmeriCorps educational awards; however, AmeriCorps grant funds may not be used to provide such benefits;

(n) Agree to identify the program through the use of logos, common application materials, and other means (to be specified by the Corporation), as part of a larger national effort and to participate in other activities such as common opening ceremonies (including the administration of a national oath or affirmation), service days, and conferences designed to promote a national identity for all AmeriCorps programs and participants, including those participants not receiving AmeriCorps educational awards. This provision does not preclude an AmeriCorps program from continuing to use its own name as the primary identification, or from using its name, logo, or other identifying materials on uniforms or other items;

(o) Agree to begin terms of service at such time as the Corporation may reasonably require and to comply with any restrictions the Corporation may establish as to **when the program may fill** an approved AmeriCorps position left vacant due to attrition;

(p) Comply with all evaluation procedures specified by the Corporation, as explained in §§ 2522.500 through 2522.560;

(q) In the case of a program receiving funding directly from the Corporation, meet and consult with the State Commission for the State in which the program operates, if possible, and submit a copy of the program application to the State Commission; and

(r) Address any other requirement as specified by the Corporation.

§ 2522.110 What types of programs are eligible to compete for AmeriCorps grants?

Types of programs eligible to compete for AmeriCorps grants include the following:

(a) *Specialized skills programs.* (1) A service program that is targeted to address specific educational, public safety, human, or environmental needs and that--

(i) Recruits individuals with special skills or provides specialized pre-service training to enable participants to be placed individually or in teams in positions in which the participants can meet such needs; and

(ii) If consistent with the purposes of the program, brings participants together for additional training and other activities designed to foster civic responsibility, increase the skills of participants, and improve the quality of the service provided.

(2) A pre-professional training program in which students enrolled in an institution of higher education –

(i) Receive training in specified fields, which may include classes containing service learning;

(ii) Perform service related to such training outside the classroom during the school term and during summer or other vacation periods; and

(iii) Agree to provide service upon graduation to meet educational, public safety, human, or environmental needs related to such training.

(3) A professional corps program that recruits and places qualified participants in positions --

(i) As teachers, nurses and other health care providers, police officers, early childhood development staff, engineers, or other professionals providing service to meet educational, public safety, human, or environmental needs in communities with an inadequate number of such professionals;

(ii) That may include a salary in excess of the maximum living allowance authorized in § 2522.240(b) (2); and

(iii) That is sponsored by public or private nonprofit employers who agree to pay 100 percent of the salaries and benefits (other than any AmeriCorps educational award from the National Service Trust) of the participants.

(b) S*pecialized Service Programs.* (1) A community service program designed to meet the needs of rural communities, using teams or individual placements to address the development needs of rural communities and to combat rural poverty, including health care, education, and job training.

(2) A program that seeks to eliminate hunger in communities and rural areas through service in projects--

(i) Involving food banks, food pantries, and nonprofit organizations that provide food during emergencies;

(ii) Involving the gleaning of prepared and unprepared food that would otherwise be discarded as unusable so that the usable portion of such food may be donated to food banks, food pantries, and other nonprofit organizations;

(iii) Seeking to address the long-term causes of hunger through education and the delivery of appropriate services; or

(iv) Providing training in basic health, nutrition, and life skills necessary to alleviate hunger in communities and rural areas.

(3) A program in which economically disadvantaged individuals who are between the ages of 16 and 24 years of age, inclusive, are provided with opportunities to perform service that, while enabling such individuals to obtain the education and employment skills necessary to achieve economic self-sufficiency, will help their communities meet --

(i) The housing needs of low-income families and the homeless; and

(ii) The need for community facilities in low-income areas.

(c) *Community-development programs.* (1) A community corps program that meets educational, public safety, human, or environmental needs and promotes greater community unity through the use of organized teams of participants of varied social and economic backgrounds, skill levels, physical and developmental capabilities, ages, ethnic background, or genders.

(2) A program that is administered by a combination of nonprofit organizations located in a low-income area, provides a broad range of services to residents of such an area, is governed by a board composed in significant part of low-income individuals, and is intended to provide opportunities for individuals or teams of individuals to engage in community projects in such an area that meet unaddressed community and individual needs, including projects that would --

(i) meet the needs of low-income children and youth aged 18 and younger, such as providing after-school “safe-places,” including schools, with opportunities for learning and recreation; or

(ii) Be directed to other important unaddressed needs in such an area.

(d) Programs that expand service program capacity. (1) A program that provides training to individuals in service learning and places the individuals after such training in positions, including positions as service-learning coordinators, to facilitate service learning in programs eligible for funding under Serve-America.

(2) An AmeriCorps entrepreneur program that identifies, recruits, and trains gifted young adults of all backgrounds and assists them in designing solutions to community problems.

(e) *Campus-based programs.* A campus-based program that is designed to provide substantial service in a community during the school term and during summer or other vacation periods through the use of --

(1) Students who are attending an institution of higher education, including students participating in a work-study program assisted under part C of title IV of the Higher Education Act of 1965 (42 U.S.C. 2751*et seq*.);

(2) Teams composed of such students; or

(3) Teams composed of a combination of such students and community residents.

(f) *Intergenerational programs.* An intergenerational program that combines students, out-of-school youths, and older adults as participants to provide needed community services, including an intergenerational component for other AmeriCorps programs described in this subsection.

(f) *Youth development programs.* A full-time, year-round youth corps program or full-time youth corps program, such as a conservation corps or youth service corps (including youth corps program under subtitle I, the Public Land Corps established under the Public Land Corps Act of 1993, the Urban Youth Corps established under section 106 of the National and Community Service Trust Act of 1993, and other conversation corps or youth service corps program that performs service on Federal or other public lands or on Indian lands or Hawaiian homelands), that;

(1) Undertakes meaningful service projects with visible public benefits, including natural resource, urban renovation, or human service projects;

(2) Includes as participants youth and young adults between ages of 16 and 25, inclusive, including out-of-school youths and other disadvantaged youths (such as youths with limited basic skills, youths in foster care who are becoming too old for foster care, youths of limited English proficiency, homeless youths, and youths who are individuals with disabilities) who are between those ages; and

(3) Provides those participants who are youths and young adults with--

(i) Crew-based, highly structured, and adult-supervised work experience, life skills, education, career guidance and counseling, employment training, and support services; and

(ii) The opportunity to develop citizenship values and skills through service to their community and the Untied States.

(g) *Individualized placement programs.* An individualized placement program that includes regular group activities, such as leadership training and special service projects.

(h) *Other programs.* Such other AmeriCorps programs addressing educational, public safety, human, or environmental needs as the Corporation may designate in the application.

Subpart B – Participants Eligibility, Requirements, and Benefits

§ 2522.200 What are the eligibility requirements for an AmeriCorps participant?

(a) *Eligibility.* An AmeriCorps Participant must --

(1)(i) Be at least 17 years of age at the commencement of service; or

(ii) Be an out-of-school youth 16 years of age at the commencement of service participating in a program described in § 2522.110 (b) (3) or (g);

(2)(i) Have a high school diploma or its equivalent; or

(ii) Not have dropped out of elementary or secondary school to enroll as an AmeriCorps participant and must agree to obtain a high school diploma or its equivalent prior to using the education award; or

(iii) Obtain a waiver from the Corporation of the requirements in paragraphs (a)(2)(i) and (a)(2)(ii) of this section based on an independent evaluation secured by the program demonstrating that the individual is not capable of obtaining a high school diploma or its equivalent; or

(iv) Be enrolled in an institution of higher education on an ability-to-benefit basis to be considered eligible for funds under section 484 of the Higher Education Act of 1965 (20 U.S. C. 1091);

(3) Be a citizen, national, or lawful permanent resident alien of the United States.

(b) *Primary documentation of status as a U.S. citizen or national.* The following are acceptable forms of certifying status as a U.S. Citizen or national:

(1) A birth certificate showing that the individual was born in one of the 50 states, the District of Columbia, Puerto Rico, Guam, or U.S. Virgin Islands, American Samoa, or the Northern Mariana Islands;

(2) A United States passport;

(3) A report of birth abroad of a U.S. Citizen (FS-240) issued by the State Department;

(4) A certificate of birth-foreign service (FS-545) issued by the State Department;

(5) A certification of report of birth (DS-1350) issued by the State Department;

(6) A certificate of naturalization (Form N-550 or N-570) issued by the Immigration and Naturalization Service; or

(7) A certificate of citizenship (Form N-560 or N-561) issued by the Immigration and Naturalization Service.

(c) *Primary documentation of status as a lawful permanent resident alien of the United States.* The following are acceptable forms of certifying status as a lawful permanent resident alien of the United States;

(1) Permanent Resident Card, INS Form I-551;

(2) Alien Registration Receipt Card, INS Form I-551;

(3) A passport indicating that the INS has approved it as temporary evidence of lawful admission for permanent residence; or

(4) A Departure Record (INS Form I-94) indicating that the INS has approved it as temporary evidence of lawful admission for permanent residence.

(d) *Secondary documentation.* If primary documentation is not available, the program must obtain a written approval from the Corporation that other documentation

is sufficient to demonstrate the individual's status as a U.S. citizen, U.S. national, or lawful permanent resident alien.

[64 FR 37413, July 12, 1999]

§ 2522.210 How are AmeriCorps Participants recruited and selected?

(A) *Local recruitment and selection.* In general, AmeriCorps participants will be selected locally by an approved AmeriCorps program, and the selection criteria will vary widely among the different programs. Nevertheless, AmeriCorps programs must select their participants in a fair and non-discriminatory manner that complies with part 2540 of this chapter. In selecting participants, programs must also comply with the recruitment and selection requirements specified in this section.

(b)(1*) National and State recruitment and selection*. The Corporation and each State Commission will establish a system to recruit individuals who desire to perform national service and to assist the placement of these individuals in approved AmeriCorps positions, which may include positions available under titles I and II of the Domestic Volunteer Service Act of 1973 (42 U.S.C. 4951 *et seq*.). The national and state recruitment and placement system will be designed and operated according to Corporation guidelines.

(2) *Dissemination of information.* The Corporation and State Commission will disseminate information regarding available approved AmeriCorps positions through cooperation with secondary schools, institutions of higher education, employment service offices, community-based organizations, State vocational rehabilitation agencies within the meaning of the Rehabilitation Act of 193 (29 U.S.C. 701 *et seq*.) and other State agencies that primarily serve qualified individuals with disabilities, and other appropriate entities, particularly those organizations that provide outreach to disadvantaged youths and youths who are qualified individuals with disabilities.

(c) *National leadership pool – (1) Selection and training.* From among individuals recruited under paragraph (b) of this section or nominated by service programs, the Corporation may select individuals with significant leadership potential, as determined by the Corporation, to receive special training to enhance their leadership ability. The leadership training will be provided by the Corporation directly or through a grant, contract, or cooperative agreement as the Corporation determines.

(2) *Emphasis on certain individuals.* In selecting individuals to receive leadership training under this provision, the Corporation will make special efforts to select individuals who have served--

(i) In the Peace Corps;

(ii) As VISTA volunteers;

(iii) As participants in AmeriCorps programs receiving assistance under parts 2520 through 2524 of this chapter;

(iv) As participants in National Service Demonstration programs that received assistance from the Commission on National and community Service; or

(v) As members of the Armed Forces of the United States and who were honorably discharged from such service.

(3) Assignment. At the request of a program that receives assistance, the Corporation may assign an individual who received leadership training under paragraph (c)(1) of this section to work with the program in a leadership position and carry out assignments not otherwise performed by regular participants. An individual assigned to a program will be considered to be a participant of the program.

§ 2522.220 What are the required terms of service for AmeriCorps participants, and may they serve for more than one term?

(a) *Term of Service.* In order to be eligible for the educational award described in § 2522.240(a), participants serving in approved AmeriCorps positions must complete a term of service as defined in this section:

(1) *Full-time service.* 1,700 hours of service during a period of not less than nine months and not more than one year.

(2) *Part-time service*. 900 hours of service during a period of not more than two years, or, if the individual is enrolled in the institution of higher education while performing all or portion of the service, not more than three years.

(3) *Reduced part-time term of service*. The Corporation may reduce the number of hours required to be served in order to receive an educational award for certain part-time participants serving in approved AmeriCorps positions. In such cases, the educational award will be reduced in direct proportion to the reduction in required hours of service. These reductions may be made for summer programs, for categories of participants in certain approved AmeriCorps programs and on a case-by-case, individual basis as determined by the Corporation.

(4) *Summer-programs.* Summer programs in which less than 1700 hours of service are performed are part-time programs.

(b) *Restriction on multiple terms.* An AmeriCorps participant may only receive the benefits described in §§ 2522.240 through 2522.250 for the first two successfully completed terms of service, regardless of whether those terms were served on a full-, part-, or reduced part-time basis.

(c) *Eligibility for second term.* A participant will only be eligible to serve a second or additional term of service if that individual has received satisfactory performance review(s) for any previous term(s) of service in accordance with the requirements of paragraph (d) of this section. Mere eligibility for a second or further term of service in no way guarantees a participant selection or placement.

(d) *Participant's performance review.* For the purpose of determining a participant's eligibility for a second or additional term of service and/or for an AmeriCorps educational award, each AmeriCorps program will evaluate the performance of a participant mid-term and upon completion of a participant's term of service. The end-of-term performance evaluation will assess the following:

(1) Whether the participant has completed the required number of hours described in paragraph (a) of this section;

(2) Whether the participant has satisfactorily completed assignments, tasks or projects; and

(3) Whether the participant has met any other performance criteria that had been clearly communicated both orally and in writing at the beginning of the term of service.

(e) *Limitation.* The Corporation may set a minimum or maximum percentage of hours of a full-time, part-time, or reduced-term of service described in paragraph (a)(1), (a)(2), and (a)(3) of this section that a participant may engage in training, education, or other similar, approved activities.

(f) *Grievance procedures.* Any AmeriCorps participant wishing to contest a program's ruling of unsatisfactory performance may file a grievance according to the procedures set forth in part 2540 of this chapter. If that grievance procedure or subsequent binding arbitration procedure finds that the participant did in fact satisfactorily complete a term of service, then the individual will be eligible to receive an educational award and/or be eligible to serve a second term of service.

§ 2522.230 Under what circumstances may AmeriCorps participants be released from completing a term of service, and what are the consequences?

An AmeriCorps program may release a participant from completing a term of service for compelling personal circumstances as demonstrated by the participant, or for cause.

(a) *Release for compelling personal circumstances.* (1) An AmeriCorps program may release a participant upon a determination by the program, consistent with the criteria listed in paragraph (a)(5) through (a)(6) of this section, that the participant is unable to complete the term of service because of compelling personal circumstances.

(2) A participant who is released for compelling personal circumstances and who completes at least 15 percent of the required term of service is eligible for a pro-rated education award.

(3) The participant has the primary responsibility for demonstrating that compelling personal circumstances prevent the participant from completing the term of service.

(4) The program must document the basis for any determination that compelling personal circumstances prevent a participant from completing a term of service.

(5) Compelling personal circumstances include:

(i) Those that are beyond the participant's control, such as, but not limited to:

(A) A participant's disability or serious illness;

(B) Disability, serious illness, or death of a participant's family member if this makes completing a term unreasonably difficult or impossible; or

(C) Conditions attributable to the program or otherwise unforeseeable and beyond the participant's control, such as a natural disaster, a strike, relocation of a spouse, or the non-renewal or premature closing of a project or program, that make completing a term unreasonably difficult or impossible;

(ii) those that the Corporation has, for public policy reasons, determined as such, including:

(A) Military service obligations;

(B) Acceptance by a participant of an opportunity to make the transition from welfare to work; or

(C) Acceptance of an employment opportunity by a participant serving in a program that includes in its approved objectives the promotion of employment among its participants.

(6) Compelling personal circumstances do not include leaving a program:

(i) To enroll in school;

(ii) To obtain employment, other than in moving form welfare to work or in leaving a program that includes in its approved objectives the promotion of employment among its participants; or

(iii) Because of dissatisfaction with the program.

(7) As an alternative to releasing a participant, an AmeriCorps*State/National program may, after determining that compelling personal circumstances exist, suspend the participant's term of service for up to two years (or longer if approved by the Corporation based on extenuating circumstances) to allow the participant to complete service with the same or similar AmeriCorps program at a later time.

(b) *Release for cause.* (1) A release for cause encompasses any circumstances other than compelling personal circumstances that warrant an individual's release from completing a term of service.

(2) AmeriCorps programs must release for cause any participant who is convicted of a felony or the sale or distribution of a controlled substance during a term of service.

(3) A participant who is released for cause may not receive any portion of the AmeriCorps education award or any other payment from the National Service Trust.

(4) An individual who is released for cause must disclose that fact in any subsequent application to participate in an AmeriCorps program. Failure to do so disqualifies the individual for an educational award, regardless of whether the individual completes a term of service.

(5) An AmeriCorps*State/National participant released for cause may contest the program's decision by filing a grievance. Pending the resolution of a grievance procedure filed by an individual to contest a determination by a program to release the individual for cause, the individual's service is considered suspended. For this type of grievance, a program may not-- while the grievance is pending or as part of its resolution--provide participant with federally funded benefits (including payments from the National Service Trust) beyond those attributable to service actually performed, without the program receiving written approval from the Corporation.

(c) *Suspended service.* (1) A program must suspend the service of an individual who faces an official charge of a violent felony (e.g., rape, homicide) or sale or distribution of a controlled substance.

(2) A program must suspend the service of an individual who is convicted of possession of a controlled substance.

(3) An individual may not receive a living allowance or other benefits, and may not accrue service hours, during a period of suspension under this provision.

(d) *Reinstatement.* (1) A program may reinstate an individual whose service was suspended under paragraph (c) (1) of this section only if the individual is found not guilty or if the charge is dismissed.

(2) A program may reinstate an individual whose service was suspended under paragraph (c) (2) of this section only if the individual demonstrates the following:

(i) For an individual who has been convicted of a first offense of the possession of a controlled substance, the individual must have enrolled in a drug rehabilitation program;

(ii) For an individual who has been convicted for more than one offense of the possession of a controlled substance, the individual must have successfully completed a drug rehabilitation program.

[64 FR 37413, July 12, 1999]

§ 2522.240 What financial benefits do AmeriCorps participants serving in approved AmeriCorps positions receive?

(a) *AmeriCorps educational award.* An individual serving an approved AmeriCorps position will receive an education award from the National Service Trust upon successful completion of each of up to two terms of service as defined in § 2522.220.

(b) *Living allowances—(1) Amount.* Subject to the provisions of this part, any individual who participates on a full-time basis in an AmeriCorps program carried out using assistance provided pursuant to §2521.30 of this chapter, including an AmeriCorps program that receives educational awards only pursuant to § 2521.20(c) of this chapter, will receive a living allowance in an amount equal to or greater than the average annual subsistence allowance provided to VISTA volunteers under § 105 of the Domestic Volunteer Service Act of 1973 (42 U.S.C. 4955). This requirement will not apply to any program that was in existence prior to September 21, 1993 (the date of the enactment of the National and Community Service Trust Act of 1993).

(2) *Maximum living allowance.* With the exception of a professional corps described in § 2522.110(a)(3), the AmeriCorps living allowance may not exceed 200 percent of the average annual subsistence allowance to VISTA volunteers under section 105 of the Domestic Volunteer Service Act of 1973 (42 U.S.C. 4955). A professional corps AmeriCorps program may provide a stipend in excess of the maximum, subject to the following conditions: (i) Corporation assistance may not be used to pay for any portion of the allowance; and

(ii) The program must be operated directly by the applicant, selected on a competitive basis by submitting an application directly to the Corporation, and may not be included in a State's application for the AmeriCorps Program funds distributed by formula, or competition described in Sections 2521.30 (a)(2) and (a)(3) of this chapter.

(3) *Living allowance for part-time participants*. Programs may, but are not required to, provide living allowances to individuals participating on a part-time basis (or a reduced term of part-time service authorized under § 2522.220(a) (3). Such living allowances should be prorated to the living allowance authorized in paragraph (b) (1) of this section and will comply with such restrictions therein.

(4) *Waiver or reduction of living allowance.* The Corporation may, at its discretion, waive or reduce the living allowance requirements if a program can demonstrate to the satisfaction of the Corporation that such requirements are inconsistent with the objectives of the program, and the participants will be able to meet the necessary and reasonable costs of living (including food, housing, and transportation) in the area in which the program is located.

(5) *Limitation on Federal share.* The Federal share, including Corporation and other Federal funds, of the total amount provided to an AmeriCorps participant for a living allowance is limited as follows;

(i) In no case may the Federal share exceed 85% of the minimum required living allowance enumerated in paragraph (b) (1) of this section.

(ii) For professional corps described in paragraph (b) (2) (i) of this section, Corporation and other Federal funds may be used to pay for no portion of the living allowance.

(iii) If the minimum living allowance requirements has been waived or reduced pursuant to paragraph (b)(4) of this section and the amount of the living allowance provided to a participant has been reduced correspondingly --

(A) In general, the Federal share may not exceed 85% of the reduced living allowance; however,

(B) If a participant is serving in a program that provides room or board, the Corporation will consider on a case-by-case basis allowing the portion of that living allowance that may be paid using Corporation and other Federal funds to be between 85% and 100%,

§ 2522.250 What other benefits do AmeriCorps participants serving in approved AmeriCorps positions receive?

(a) *Childcare.* Grantees must provide childcare through an eligible provider or a childcare allowance in an amount determined by the Corporation to those full-time participants who need childcare in order to participate.

(1) *Need.* A participant is considered in need of childcare in order to participate in the program if he or she:

(i) Is the parent or legal guardian of, or is acting *in loco-parentis* for, a child under 13 who resides with the participant;

(ii) Has a family income that does not exceed 75 percent of the State's median income for a family of the same size;

(iii) At the time of acceptance into the program, is not currently receiving childcare assistance from another source, including a parent or guardian, which would continue to be provided while the participant serves in the program; and

(iv) Certifies that he or she needs childcare in order to participate in the program.

(2) *Provider eligibility.* Eligible childcare providers are those who are eligible childcare providers as defined in the Childcare and Development Block Grant Act of 1990 (42 U.S. C. 9858n (5)).

(3) *Childcare allowance.* The amount of the childcare allowance will be determined by the Corporation based on payment rates for the Childcare and Development Block Grant Act of 1990 (42 U.S.C. 9858c (4) (A).

(4) *Corporation share.* The Corporation will pay 100 percent of the childcare allowance, or, if the program provides childcare through an eligible provider, the actual cost of the care or the amount of the allowance, whichever is less.

(b) *Health care.* (1) Grantee must provide to all eligible participants who meet the requirements of paragraph (b)(2) of this section health care coverage that--

(i) Provides the minimum benefits determined by the Corporation;

(ii) Provides the alternative minimum benefits determined by the Corporation; or

(iii) Does not provide all of either the minimum or the alternative minimum benefits but that has a fair market value equal to or greater than the fair market value of a policy that provides the minimum benefits.

(2) *Participant eligibility.* A full-time participant is eligible for health care benefits if he or she is not otherwise covered by a health benefits package providing minimum benefits established by the Corporation at the time he or she is accepted into a program. If, as a result of participation, or if, during the term of service, a participant demonstrates loss of coverage through no deliberate act of his or her own, such a parental or spousal job loss or disqualification from Medicaid, the participant will be eligible for health care benefits.

(3) *Corporation share.* (i) Except as provided in paragraph (b)(3)(ii) of this section, the Corporation will pay up to 85% of the cost of health care coverage that includes the minimum or alternative minimum benefits and is not excessive in cost.

(ii) The Corporation will pay no share of the cost of a policy that does not provide the minimum or alternative minimum benefits described in paragraph (b) (1) (i) and (b)(1)(ii) of this section.

Subpart C – Application Requirements

§ 2522.300 What are the application requirements for AmeriCorps program grants?

All eligible applicants seeking AmeriCorps program grants must--

(a) Provide a description of the specific program(s) being proposed, including the type of program and how it meets the minimum program requirements described in § 2522.100; and

(b) Comply with any additional requirements as specified by the Corporation in the application package.

§ 2522.310 What are the application requirements for AmeriCorps educational awards only?

(a) Eligible applicants may apply for AmeriCorps educational awards only for one of the following eligible service positions: (1) A position for a participant in an AmeriCorps program that:

(i) Is carried out by an entity eligible to receive support under part 2521 of this chapter;

(ii) Would be eligible to receive assistance under this part, based on criteria established by the Corporation, but has not applied for such assistance;

(2) A position facilitating service-learning in a program described in parts 2515 through 2519 of this chapter;

(3) A position involving service as a crew leader in a youth corps program or a similar position supporting an AmeriCorps program; and

(4) Such other AmeriCorps positions as the Corporation considers appropriate.

(b) Because programs applying only for AmeriCorps educational awards must, by definition, meet the same basic requirements as other approved AmeriCorps programs, applicants must comply with the same application requirements specified in § 2522.300.

§ 2522.320 May an applicant submit more than one application to the Corporation for the same project at the same time?

No. The Corporation will reject an application for a project if an application for funding or educational awards for the same project is already pending before the Corporation.

Subpart D – Selection of AmeriCorps Program

§ 2522.400 How will the basic selection criteria be applied?

From among the eligible programs that meet the minimum program requirements and that have submitted applications to the Corporation; the Corporation must select the best ones to receive funding. Although there is a wide range of factors that must be taken into account during the selection process, there are certain fundamental selection criteria that apply to all programs in each grant competition, regardless of whether they receive funding or educational awards directly or through subgrants. States and other subgranting applicants are required to use these criteria during the competitive selection of subgrantees. The Corporation may adjust the relative weight given to each criterion. (Additional and more specific criteria will be published in the applications).

§ 2522.410 What are the basic selection criteria for AmeriCorps programs?

The Corporation will consider how well the program will be able to achieve the three impacts mentioned in paragraph (a) of this section as demonstrated by the program design, the capacity of the organization to carry it out, and other factors related to need. The Corporation will also consider the extent to which the program promotes the Corporation's goals; and the extent to which the program contributes to the overall diversity of programs desired by the Corporation. These criteria are discussed in this section. Additional detail relating to these criteria may be published in any notice of availability of funding.

(a) *Program impacts.* The Corporation will consider the extent to which the program:

(1) Achieves direct and demonstrable results;

(2) Strengthens communities; and

(3) Promotes citizenship and increases educational opportunities for participants.

(b) *Program Criteria.—(1) Program design.* The Corporation will consider four factors relating to the program design: (i) The quality of the program proposed to be carried out directly by the applicant or supported by a grant from the applicant;

(ii) The innovative aspects of the AmeriCorps program;

(iii) The feasibility of replicating the program; and

(iv) The sustainability of the program, based on evidence such as the existence of strong and broad-based community support for the program and of multiple funding sources or private funding.

(2) Organizational capacity. The Corporation will also consider an organization's capacity to carry out the program based on--

(i) The quality of the leadership of the AmeriCorps program;

(ii) The past performance of the organization or program; and

(iii) The extent to which the program builds on existing programs.

(c) *Need Criteria.* In selecting programs, the Corporation will take into consideration the extent to which projects address State-identified issue priorities (if the program will be funded out of competitive funds), and whether projects would be conducted in areas of need.

(1) *Issue Priorities.* In order to concentrate national efforts on meeting certain educational, public safety, human, or environmental needs, and to achieve the other purposes of this Act, the Corporation will establish, and after review of the strategic plan approved by the Board, periodically alter, priorities regarding the AmeriCorps program that will receive assistance (funding of approved AmeriCorps positions) and the purposes for which such assistance may be used. These priorities will be applied to assistance provided on a competitive basis as described in § 2521.30 of this chapter, and to any assistance provided through a subgrant of such funds.

(i) States must establish and, through the national service plan process described in part 2513 of this chapter, periodically alter priorities regarding the program that will receive assistance (funding or approved AmeriCorps positions) provided on a formula basis as described in § 2521.30(a)(2) of this chapter. The State priorities will be subject to Corporation review as part of the application process under part 2521 of this chapter.

(ii) The Corporation will provide advance notice to potential applicants of any AmeriCorps priorities to be in effect for a fiscal year. The notice will describe any alteration made in the priorities since the previous notice. If a program receives multi-year funding based on conformance to national or state priorities, and such priorities are altered after the first year of funding, the program will not be adversely affected due to the change in priorities until the term of the grant is ended.

(2) *Areas of need.* Areas of need are:

(i) Communities designated by the Federal government or States as empowerment zones or redevelopment areas, targeted for special economic incentives, or otherwise identifiable as having high concentrations of low-income people;

(ii) Areas that are environmentally distressed;

(iii) Areas adversely affected by Federal actions related to the management of Federal lands that result in significant regional job losses and economic dislocation;

(iv) Areas adversely affected by reductions in defense spending or the closure or realignment of military installations; and;

(v) Areas that have unemployment rates greater than the national average unemployment rate for the most recent 12 months for which satisfactory data are available.

(d) *Contribution to overall diversity of programs funded by the Corporation.* The corporation will select programs that will help to achieve participant, program type, and geographic diversity across programs.

(e) *Additional considerations.* The Corporation may publish in any notice of availability of funding additional factors that it may take into consideration in selecting programs, including any additional priorities applicable to any or all funds.

§ 2522.420 Can a State's application for formula funds be rejected?

Yes, formula funds are not an entitlement.

(a) *Notification.* If the Corporation rejects an application submitted by a State Commission under part 2550 of this chapter for funds described in § 2521.30 of this chapter, the Corporation will promptly notify the State Commission of the reasons for the rejection of the application.

(b) *Revision.* The Corporation will provide a State Commission notified under paragraph (a) of this section with a reasonable opportunity to revise and resubmit the application. At the request of the State Commission, the Corporation will provide technical assistance to the State Commission as part of the resubmission process. The Corporation will promptly reconsider an application resubmitted under this paragraph.

(c) *Redistribution*. The amount of any State's allotment under §2521.30(a) of this chapter for a fiscal year that the Corporation determines will not be provided for that fiscal year will be available for redistribution by the Corporation to the States, Territories and Indian Tribes with approved AmeriCorps applications as the Corporation deems appropriate.

Subpart E –Evaluation Requirements

§ 2522.500 What are the purposes of an evaluation?

Every evaluation should serve to improve program quality, examine benefits of service, or fulfill legislative requirements.

§ 2522.510 What types of evaluations are States, grant-making entities, and programs required to perform?

All grantees and subgrantees are required to perform internal evaluations, which are ongoing efforts to assess performance and improve quality. Grantees and subgrantees may, but are not required to, arrange for independent evaluations, which are assessments of program effectiveness by individuals who are not directly involved in the administration of the program. The cost of independent evaluations is allowable.

§ 2522.520 What types of internal evaluation activities are required of programs?

Programs are required to: (a) continuously assess management effectiveness, the quality of service provided, and the satisfaction of both participants and persons served. Internal evaluation activities should seek frequent feedback and provide for quick correction of weaknesses. The Corporation encourages programs to use such internal evaluation methods as community advisory councils, participant advisory councils, peer reviews, quality control inspections, and customer and participant surveys.

(b) Track progress towards objectives. Objectives will be established by programs and approved by the Corporation. Programs must submit to the Corporation (or State or grant making entity as applicable) periodic performance reports and, as part of an annual report, an annual performance report.

(c) Collect and submit to the Corporation (thorough the State or grant making entity as applicable) the following data: (1) Information on participants including the total number of participants in the program, and the number of participants by race, ethnicity, age, gender, economic background, education level, ethnic group, disability classification, geographic region, and marital status;

(2) Information on services conducted in areas classified as empowerment zones (or redevelopment areas), in areas that are targeted for special economic incentives or otherwise identifiable as having high concentrations of low-income people in areas that are environmentally distressed, in areas that are adversely affected by Federal actions related to the management of Federal lands, in areas that are adversely affected by reductions in spending, or in areas that have unemployment rates greater than the national average unemployment rate; and

(3) Other information as required by the Corporation.

(d) Cooperate fully with all Corporation evaluation activities.

§ 2522.530 What types of activities are required of States or grant making entities to evaluate the effectiveness of their subgrantees?

In cases where a State or grant making entity is the direct grantee, it will be required to:

(a) Ensure that subgrantees comply with the requirements of this subpart;

(b) Track program performance in terms of progress towards pre-established objectives and ensure that corrective action is taken when necessary. Submit periodic performance reports and, as part of an annual report, an annual performance report to the Corporation for each subgrantee;

(c) Collect from programs and submit to the Corporation the descriptive information required in this subpart; and

(d) Cooperate fully with all Corporation evaluation activities.

§ 2522.540 How will the Corporation evaluate individual AmeriCorps programs?

The Corporation will evaluate programs based on the following:

(a) The extent to which the program meets the objectives established and agreed to by the grantee and the Corporation before the grant award;

(b) The extent to which the program is cost-effective; and

(c) The effectiveness of the program in meeting the following legislative objectives: (1) Providing direct and demonstrable service to projects that benefit the community by addressing education, public safety, human, or environmental needs;

(2) Recruiting and enrolling diverse participants consistent with the requirements of part §2540 of this chapter, based on economic background, race, ethnicity, age, gender, marital status, education level, and disability;

(3) Promoting the educational achievement of each participant based on earning a high school diploma of its equivalent and future enrollment in the completion of increasingly higher levels of education;

(4) Encouraging each participant to engage in public and community service after completion of the program based on career choices and participation in other service programs;

(5) Promoting an ethic of active and productive citizenship among participants;

(6) Supplying additional volunteer assistance to community agencies without providing more volunteers than can be effectively utilized;

(7) Providing service and activities that could not otherwise be performed by employed workers and that will not supplant the hiring of, or result in the displacement of, employed workers; and

(8) Other criteria determined and published by the Corporation.

§ 2522.550 What will the Corporation do to evaluate the overall success of the AmeriCorps programs?

(a) The Corporation will conduct independent evaluations of programs, including in-depth studies of selected programs. These evaluations will consider the opinions of participants and members of the community where services are delivered. Where appropriate these studies will compare participants with individuals who have not participated in service programs. These evaluations will:

(1) Study the extent to which national service impacts involved communities;

(2) Study the extent to which national service increases positive attitudes among participants regarding the responsibilities of citizens and their role in solving community problems;

(3) Study the extent to which national service enables participants to afford post-secondary education with fewer student loans;

(4) Determine the cost-effectiveness of different program models in meeting program objectives, including full- and part-time programs, programs involving different types of national service, programs using different recruitment methods, programs offering alternative non-federally funded vouchers or post-service benefits, and programs utilizing individual placements and teams;

(5) Determine the impact of programs in each State on the ability of VISTA and National Senior Volunteer Corps, each regular and reserve component of the Armed Forces, and the Peace Corps to recruit individuals residing in that State; and

(6) Determine the levels of living allowance paid in all AmeriCorps programs and American Conservation and Youth Corps, individually, by State, and by region, and determine the effects that such living allowances have had on the ability of individuals to participate in such programs.

(b) The Corporation will also determine by June 30, 1995:

(1) Whether the State and national priorities designed to meet educational, public safety, human, or environmental needs are being addressed;

(2) Whether the outcomes of both stipend and non-stipend service programs are refined and measured appropriately;

(3) Whether stipend service programs, and service programs providing educational benefits in return for service, should focus on economically disadvantaged individuals or at-risk youths or whether such programs should include a mix of individuals, including individuals from middle- and upper-income families;

(4) The role and importance of stipends and educational benefits in achieving desired outcomes in the service programs;

(5) Income distribution of AmeriCorps participants, in order to determine the level of participation of economically disadvantaged individuals. The total income of participants will be determined as of the date the participant was first selected to participate in a program and will include family total income unless the evaluating entity determines that the participant was independent at the time of selection. Definitions for "independent" and "total income" are those used in section 480(a) of the Higher Education Act of 1965;

(6) The amount of assistance provided under the AmeriCorps programs that has been expended for projects conducted in areas classified in empowerment zones (or redevelopment areas), in areas that are targeted for special economic incentives or are otherwise identifiable as having higher concentrations of low-income people, in areas that are environmentally distressed or adversely affected by Federal actions related to the management of Federal lands, in areas that are adversely affected by reductions in defenses spending, and in areas that have unemployment rates greater than the national average unemployment rate for the most recent 12 months for which satisfactory data are available; and

(7) The implication of the results of these studies as appropriate for authorized funding levels.

§ 2522.560 Will information on individual participants be kept confidential?

(a) Yes, the Corporation will maintain the confidentiality of information regarding individual participants that is acquired for the purpose of the evaluations described in §2522.540. The Corporation will disclose individual participant information only with the prior written consent of the participant. However, the Corporation may disclose aggregate participant information.

(b) Grantees and subgrantees that receive assistance under this chapter must comply with the provisions of paragraph (a) of this section.

PART 2523 – AGREEMENT WITH OTHER FEDERAL AGENCIES FOR THE PROVISION OF AMERICORPS PROGRAM ASSISTANCE

Sections:

2523.10 Are Federal agencies eligible to apply for AmeriCorps program funds?
2523.20 Which Federal agencies may apply for such funds?
2523.30 Must Federal Agencies meet the requirements imposed on grantees under parts 2521 and 2522 on this chapter?
2523.40 For what purposes would Federal Agencies use AmeriCorps program funds?
2523.50 What types of grants are Federal agencies eligible to receive?
2523.60 May Federal agencies enter into partnership or participate in consortia?
2523.70 Will the Corporation give special consideration to Federal agency applications that address certain needs?
2523.80 Are there restrictions on the use of Corporation funds?

2523.90 Is there a matching requirement for Federal agencies?
2523.100 Are participants in programs operated by Federal agencies Federal employees?
2523.110 Can Federal agencies submit multiple applications?
2523.120 Must Federal agencies consult with State Commissions?

AUTHORITY: 42 U.S.C. 12501 *et seq.*

SOURCE: 59 FR 13804, Mar. 23, 1994, unless otherwise noted.

§ 2523.10 Are federal agencies eligible to apply for AmeriCorps program funds?

Yes, federal agencies may apply for and receive AmeriCorps funds under parts 2521 and 2522 of this chapter, and they are eligible to receive up to one-third of the funds available for competitive distribution under § 2521.20(b)(3) of this chapter. The Corporation may enter into a grant, contract or cooperative agreement with another Federal Agency to support an AmeriCorps program carried out by the agency. The Corporation may transfer funds available to it to other Federal agencies.

§ 2523.20 Which federal agency may apply for such funds?

The Corporation will consider applications only from Executive Branch agencies or departments. Bureaus, divisions, and local and regional offices of such departments and agencies can only apply throughout the central department or agency; however, it is possible for the department or agency to submit an application proposing more than one program.

§ 2523.30 Must Federal Agencies meet the requirements imposed on grantees under parts 2521 and 2522 on this chapter?

Yes, except as providers in § 2523.90. Federal agency programs must meet the same requirement and serve the same purposes as all other applicants seeking support under part 2522 of this chapter.

§ 2523.40 For what purposes would Federal Agencies use AmeriCorps program funds?

AmeriCorps funds should enable Federal agencies to establish programs that leverage agencies' existing resources and grant-making powers toward the goal of integrating service more fully into agencies' and activities. Agencies should plan to ultimately support new service initiatives out of their own budgets and appropriations.

§ 2523.50 What types of grants are Federal agencies eligible to receive?

Federal agencies may apply for planning and operating funds subject to the terms established by the Corporation in § 2521.20 of this chapter, except that operating grants will be awarded with the expectation that the Federal agencies will support the proposed program from their own budget once the Corporation grant(s) expire.

§ 2523.60 May Federal agencies enter into partnership or participate in consortia?

Yes. Such partnerships or consortia may consist of other Federal Agencies, Indian Tribes, subdivisions of States, community-based organizations, institutions of higher education, or other non-profit organizations. Partnership and consortia must be approved by the Corporation.

§ 2523.70 Will the Corporation give special consideration to Federal agency applications that address certain needs?

Yes, The Corporation will give special consideration to those applications that address the national priorities established by the Corporation. The Corporation may also give special consideration to those application that demonstrate the agency's intent to leverage its own funds through a Corporation-approved partnership or consortium, by raising other funds from federal or non-Federal sources, by giving grantees incentives to build service opportunities into their program, by committing appropriate in-kind resources, or by other means.

§ 2523.80 Are there restrictions on the use of Corporation funds?

Yes. The supplementation and nondisplacement provisions specified in part 2540 of this chapter apply to the Federal AmeriCorps program supported with such assistance.

§ 2523.90 Is there a matching requirement for Federal agencies?

No. A federal agency is not required to match funds in programs that receive support under this chapter. However, Federal agency subgrantees are required to match funds in accordance with the requirements of §2521.30(g) and §2522.240(b)(5) of this chapter.

§ 2523.100 Are participants in programs operated by Federal agencies employees?

No. Participants in these programs have the same employee status as participants in other approved AmeriCorps programs; and are not considered Federal employees, except for the purposes of the Family and Medical Leave Act as specified in §2540.220(b) of this chapter.

§ 2523.110 Can Federal agencies submit multiple applications?

No. The Corporation will only consider one application from a Federal agency for each AmeriCorps competition. The application may propose more than one program, however, and the Corporation may choose to fund any or all of those programs.

§ 2523.120 Must Federal agencies consult with State Commissions?

Yes. Federal agencies must provide a description of the manner in which the proposed AmeriCorps program(s) is coordinated with the application of the State in which the projects will be conducted. Agencies must also describe proposed efforts to coordinate AmeriCorps activities with State Commissions and other funded AmeriCorps program within the State in order to build upon existing program and not duplicate efforts.

PART 2524 – AMERICORPS TECHNCIAL ASSISTANCE AND OTHER SPECIAL GRANTS

Sections:

2524.10 For what purposes will technical assistance and training funds be made available?
2524.20 What are the guidelines for program development assistance and training grants?
2524.30 What are the guidelines for challenge grants?
2524.40 What are the guidelines for grants to involve persons with disabilities?
2524.50 What are the guidelines for assistance with disaster relief?

AUTHORITY: 42 U.S.C. 12501 *et seq.*

SOURCE: 50FR 13805, Mar. 23, 1994 unless otherwise noted

§ 2524.10 For what purposes will technical assistance and training funds be made available?

(a) To the extent appropriate and necessary, the Corporation may make technical assistance available to States, Indian tribes, labor organization, organizations operated by young adults, organizations serving economically disadvantaged individuals, and other entities eligible to apply for assistance under parts 2521 and 2522 of this chapter that desire—

(1) To develop AmeriCorps programs; or

(2) To apply for assistance under parts 2521 and 2522 of this chapter or under a grant program conducted using such assistance.

(b) In addition, the Corporation may provide program development assistance and conduct, directly or by grant or contract, appropriate training programs regarding AmeriCorps in order to –

(1) Improve the ability of AmeriCorps program assisted under parts 2521 and 2522 of this chapter to meet educational, public safety, human, and environmental needs in communities--

(i) Where service are needed most; and

(ii) Where programs do not exist, or are too limited to meet community needs, as of the date on which the Corporation makes the grant or enters into the contract;

(2) Promote leadership development in such programs;

(3) Improve the instructional and programmatic quality of such programs to build an ethic of civic responsibility.

(4) Develop the management and budgetary skills of program operators;

(5) Provide for or improve the training provided to the participants in such programs;

(6) Encourage AmeriCorps programs to adhere to risk management procedures, including the training of participants in appropriate risk management practices; and

(7) Assist in such other manner as the Corporation may specify

§ 2524.20 What are the guidelines for program development assistance and training grants?

(a) *Eligibility.* States, Federal agencies, Indian tribes, public or private nonprofit agencies, institutions of higher education, for-profit businesses, and individuals may apply for assistance under this section.

(b) *Duration.* A grant made under this section will be for a term of up to one year and is renewable.

(c) *Application requirements.* Eligible applicants must comply with the requirements specified in the Corporation's application package.

§ 2524.30 What are the guidelines for challenge grants?

(a) *Purpose.* The purpose of these grants is to challenge high quality AmeriCorps programs to diversify their funding by matching private dollars they have raised with Corporation support. The Corporation will provide not more than $1 for each $1 raised in cash by the program from private sources in excess of amounts otherwise required to be provided by the program to satisfy the matching funds requirements specified under 2521.30(g) of this chapter.

(b) *Eligibility.* Only Corporation grantees that meet all of the following eligibility criteria may apply for challenge grants;

(1) They are funded under parts 2520 through 2523 of this chapter.

(2) They are high quality programs with demonstrated experience in establishing and implementing project that provide benefits to participants and communities.

(3) They have operated with Corporation funds for at least six months.

(4) They have secured the minimum matching funds required by §§ 2521.30(g), 2522.240(b)(5), 2522.250(a)(4), and 2522.250(b)(2) of this chapter

(c) *Allowable program activities.* Challenge grants are intended to provide special opportunities for national and community service programs to enroll additional participants or undertake other activities specified by the Corporation.

(d) *Application Procedures.* Eligible applicants must comply with the requirement specified in the Corporation's application material.

(e) *Limitation on use of the funds.* Each year the Corporation will establish a maximum award that a program may receive as a challenge grant.

(f) *Allocation of funds.* The Corporation will determine annually how much funds will be allocated to challenge grants from funds appropriated for AmeriCorps programs.

§ 2524.40 What are the guidelines for grants to involve persons with disabilities?

(a) *Purpose.* There are two general purposes for these grants:

(1) To assist AmeriCorps grantees in placing applicants who require reasonable accommodation (as defined in section 101(9) of the American with Disabilities Act of 1990, 42 U.S.C. 12111(9) or auxiliary aids and services (as defined in section 3(1) of such Act, 42 U.S.C. 12102(1) in an AmeriCorps program; and

(2) To conduct outreach activities to individuals with disabilities to recruit them for participation in AmeriCorps programs.

(b) *Eligibility – (1) Placement, accommodation, and auxiliary services.* Eligibility for assistance under this part is limited to AmeriCorps program that:

(i) Receive competitive funding from the Corporation under §2521.30(a) (3) or § 2521.30(b) (3) of this chapter; and

(ii) Demonstrate that the program has received a substantial number of applications for placement from persons who are individuals with a disability and who require a reasonable accommodation (as defined in section 101(9) of the American with Disabilities Act of 1990), or auxiliary aids and services (as defined in section 3(1) of such Act) in order to perform national service; and

(iii) Demonstrate the additional funding would assist the program in placing a substantial number of such individuals with a disability as participants in projects carried out through the program.

(2) Outreach. Corporation grantees and any public or private nonprofit organization may apply for funds to conduct outreach to individuals with disabilities to recruit them or participation in AmeriCorps programs. Outreach funds can also be used by any organization to assist AmeriCorps programs in adapting their program to encourage greater participation by individuals with disabilities.

(c) *Application procedures.* Eligible Applicants must comply with the requirement specified in the Corporation's application material.

§ 2524.50 What are the guidelines for assistance with disaster relief?

(a) *Purpose.* Disaster relief funds are intended to provide emergency assistance not otherwise available to enable national and community service programs to respond quickly and effectively a Presidential-declared disaster.

(b) *Eligibility.* Any AmeriCorps program (including youth corps, the National Civilian Community Corps, VISTA, and other programs authorized under the Domestic Volunteer Services Act) or grant making entity (such as a State or Federal agency) that is supported by the Corporation may apply to disaster relief grants.

(c) *Application process.* Eligible applicants must comply with the requirements specified in the Corporation's application materials.

(d) *Waivers.* In appropriate cases, due to the limited nature of disaster activities, the Corporation may waive specific program requirements such as matching requirements and the provision of AmeriCorps educational awards for participants supported by disaster relief funds.

PART 2525 –NATIONAL SERVICE TRUST; PURPOSE AND DEFINITION

Sections:

2525.10 What is the National Service Trust?
2525.20 Definitions.

§ 2525.10 What is the National Service Trust?

The National Service Trust is an account in the Treasury of the United States from which the Corporation makes payment of education awards, pays interest that accrues on qualified student loans for AmeriCorps participants during terms of service in approved national service positions, and makes other payments authorized by Congress.

{64 FR 37414, July 12, 1999)

§ 2525.20 Definitions.

In addition to the definitions §2525.20 of this chapter, the following definitions apply to terms used in parts 2525 through 2529 of this chapter:

AmeriCorps® Provisions

The AmeriCorps Provisions are binding on the Grantee. By accepting funds under this Grant, the Grantee agrees to comply with the AmeriCorps Provisions and all applicable federal statutes, regulations and guidelines. The Grantee agrees to operate the funded Program in accordance with the approved Grant application and budget, supporting documents, and other representations made in support of the approved Grant application. The Grantee agrees to include in all subgrants the applicable terms and conditions contained in this award.

For the purposes of these Provisions, AmeriCorps refers to AmeriCorps*State, AmeriCorps*National and AmeriCorps*Tribes and Territories Programs only.

All applicable Provisions of the Grant including regulations and OMB circulars that are incorporated by reference shall apply to any Grantee, sub-Grantee, or other organization carrying out activities under this award.

A. DEFINITIONS

B. AMERICORPS SPECIAL PROVISIONS

1. Purposes of the Award
2. AmeriCorps Affiliation
3. Local and State Consultation
4. Prohibited Program Activities
5. Fund Raising
6. Member Eligibility, Recruitment and Selection
7. Member Training, Supervision and Support
8. Terms of Service
9. Release from Participation
10. Minor Disciplinary Actions
11. Living Allowances, In-Service Benefits and Taxes
12. Post-service Education Awards
13. Matching Requirements
14. Member Records and Confidentiality
15. Budget and Programmatic Changes
16. Reporting Requirements
17. Grant Period and Incremental Funding

C. GENERAL PROVISIONS

18. Legislative and Regulatory Authority
19. Other Applicable Statutory and Administrative Provisions
20. Responsibilities under Grant Administration
21. Financial Management Provisions
22. Administrative Costs

23. Equipment and Supplies Costs
24. Project Income
25. Payments under the Award
26. Retention of Records
27. Site Visits
28. Liability and Safety Issues
29. Drug-Free Workplace
30. Non-discrimination
31. Supplementation, Non-duplication and Non-displacement
32. Grievance Procedure
33. Ownership and Sharing of the Award Products
34. Publications
35. Evaluation
36. Suspension or Termination of the Award
37. Order of Precedence

A. DEFINITIONS

For purposes of this Grant the following definitions apply:

a. **Act** means the National and Community Service Act of 1990, as amended (42 U.S.C. 12501 *et seq*.)

b. **Administrative Costs** are expenses associated with the overall administration of a Program, and are defined in the General Provisions, Clause 22, Administrative Costs.

c. **AmeriCorps National Service Network** means AmeriCorps*State, AmeriCorps*National, AmeriCorps*Tribes and Territories, Volunteers in Service to America (VISTA), and National Civilian Community Corps (NCCC) Programs taken together as programs dedicated to national service. VISTA is authorized under the Domestic Volunteer Service Act (42 U.S.C. 4950 *et seq*.). NCCC is authorized under the National and Community Service Act (42 U.S.C. 12611 *et seq*.).

d. **Approved National Service Position** means a national service position for which the Corporation has approved the provision of a national service education award as one of the benefits to be provided for successful service in the position.

e. **Corporation** means the Corporation for National and Community Service established under section 191 of the Act (42 U.S.C. 12651).

f. **Education Award** means an award provided to a member who has successfully completed a required term of service in an approved national service position and who otherwise meets the eligibility criteria in the Act. An education award may be used: (1) to repay qualified student loans, as defined in the Act; (2) toward the cost of attendance at an institution of higher education, as those terms are defined in the Act; and (3) toward expenses incurred in participating in school-to-work programs approved by the Secretaries of Labor and Education.

g. **Grantee**, for the purposes of this agreement, means the direct recipient or the subrecipient/site of this Grant. The term sub-Grantee shall be substituted for the term Grantee where appropriate. The Grantee is legally accountable to the Corporation for the use of Grant funds and is bound by the provisions of the Grant.

h. **Indian Tribe** means a federally-recognized Indian tribe, band, nation, or other recognized group or community, including any Native village, Regional Corporation, or Village Corporation, as defined under the Alaska Native Claims

Settlement Act (43 U.S.C. 1602), that the United States Government determines is eligible for special programs and services provided under federal law to Indians because of their status as Indians. An Indian tribe also includes any tribal organization controlled, sanctioned, or chartered by one of the entities described above

i. **Member** means an individual:

- **i.** Who is enrolled in an approved national service position;
- **ii.** Who is a U.S. citizen, U.S. national or lawful permanent resident alien of the United States;
- **iii.** Who is at least 17 years of age at the commencement of service unless the member is out of school and enrolled

  - **(a)** In a full-time, year-round youth corps Program or full-time summer Program as defined in the Act (42 U.S.C. 12572 (a) (2)), in which case he or she must be between the ages of 16 and 25, inclusive, or

  - **(b)** In a Program for economically disadvantaged youth as defined in the Act (42 U.S.C. 12572 (a) (9)), in which case he or she must be between the ages of 16 and 24, inclusive;

- **iv.** Has a high school diploma or an equivalency certificate (or agrees to obtain a high school diploma or its equivalent before using an education award) and who has not dropped out of elementary or secondary school in order to enroll as an AmeriCorps member (unless enrolled in an institution of higher education on an ability to benefit basis and is considered eligible for funds under section 484 of the Higher Education Act of 1965, 20 U.S.C. 1091), or who has been determined through an independent assessment conducted by the Program to be incapable of obtaining a high school diploma or its equivalent (provided that the Corporation's AmeriCorps Program Office has waived the education attainment requirement for the individual).

j. **National Service Trust** is the account established in the U.S. Department of the Treasury under the Act (42 U.S.C. 12601) for the purpose of holding and making payments of education awards and other education benefits to AmeriCorps members

k. **OMB** means the U.S. Office of Management and Budget.

l. **Out-Of-School Youth** means youth age 16 and older who have either dropped out or otherwise have no permanent affiliation with a secondary school. This definition does not include individuals who are in between school years and fully intend to return to school in the fall.

m. **Parent Organization** means a grantee that is responsible for implementing and managing a National Direct AmeriCorps Program.

n. **Program** means a national service Program, described in the Act (42 U.S.C. 12572(a)), carried out by the Grantee through funds awarded by the Corporation and carried out in accordance with federal requirements and the Provisions of this Grant.

o. **Project** means an activity or set of activities carried out under a Program that results in a specific, identifiable community service or improvement:

- **i.** That otherwise would not have been made with existing funds; and
- **ii.** That does not duplicate the routine services or functions of the organization to which the members are assigned.

p. **Project Sponsor** means an organization or other entity that has been selected to provide a national service position for a member.

q. **Service Recipient** means a community beneficiary who receives a service or benefit from the service of AmeriCorps members.

r. **State Commission** means the Commission on National and Community Service established by a state pursuant to the Act (42 U.S.C. 12638), including an authorized alternative administrative entity to administer the state's national service plan and national service programs and to perform such other duties prescribed by 45 C.F.R. 2550.80.

s. **Sub-Grantee** refers to an organization receiving AmeriCorps Grant funds from a Grantee of the Corporation.

B. AMERICORPS SPECIAL PROVISIONS

1. PURPOSES OF THE GRANT

The general purposes of this Grant are "Getting Things Done" in communities, strengthening the ties that bind communities together, and developing the citizenship and skills of AmeriCorps members. Activities funded through this Grant must help engage Americans of all backgrounds as members in community-based service that provides a direct and demonstrable benefit that is valued by the community. Service activities must result in a specific identifiable service or improvement that otherwise would not be provided with existing funds or volunteers and that does not duplicate the routine functions of workers or displace paid employees.

2. AFFILIATION WITH THE AMERICORPS NATIONAL SERVICE NETWORK

a. Identification as an AmeriCorps Program or Member. The Grantee must identify the Program as an AmeriCorps Program and members eligible for a Corporation-approved post-service education award as AmeriCorps members.

b. The AmeriCorps Name and Logo. AmeriCorps is a registered service mark of the Corporation for National and Community Service. The Grantee must use the AmeriCorps name and logo on service gear and public materials such as stationery, application forms, recruitment brochures, orientation materials, member curriculum, signs, banners, press releases and publications created by AmeriCorps members in accordance with Corporation requirements. The Corporation provides a camera-ready logo.

To establish the relationship between the Program and AmeriCorps, the Grantee must use the phrase "The AmeriCorps National Service Network" or "an AmeriCorps Program" and may use the slogan "Getting Things Done"™ on such materials in accordance with Corporation guidelines and requirements. The Grantee may not alter the AmeriCorps logo, and must obtain the written permission of the Corporation before:

i. Using the AmeriCorps name or logo on materials that will be sold, or
ii. Permitting donors to use the AmeriCorps name or logo in promotional materials.

c. AmeriCorps Service Gear. The Grantee is encouraged to provide the Core AmeriCorps Service Gear Package for each member. The core package includes the standard items made available by the Corporation. The Grantee should direct members to wear their service gear at officially designated

AmeriCorps events and may allow members to wear their service gear at other times consistent with Corporation guidelines. The Grantee may not use Corporation funds to purchase local Program service gear.

d. **Participation in AmeriCorps Events.** The Grantee agrees, within reasonable limits, to arrange for members to participate in AmeriCorps events and activities sponsored by the Corporation, such as the National Opening Ceremonies, conferences and national service days.

3. LOCAL AND STATE CONSULTATION

a. **Community Consultation.** The Grantee must design, implement and evaluate the funded project with extensive and broad-based community involvement, including consultation with representatives from the community served, members and potential members, community-based agencies with a demonstrated record in providing services, foundations and businesses.

b. **Labor Union Concurrence.** Prior to the placement of members, the Grantee must consult with local labor organizations representing employees of project sponsors or representing employees in the area to be served by the Program. This includes people engaged in the same or similar work as that proposed to be carried out by the Program, and is required to ensure compliance with the non-displacement requirements contained in Clause 31 of these Grant Provisions.

c. **State Commission Consultation.** In coordination with the Corporation, AmeriCorps*National and AmeriCorps*Tribes and Territories Grantees are strongly encouraged to consult on a regular basis with the State Commission in each state that a Program operates. Such communications build upon existing programs throughout the state while avoiding the duplication of efforts in other AmeriCorps Programs.

4. PROHIBITED PROGRAM ACTIVITIES

While charging time to the AmeriCorps Program, accumulating service or training hours, or otherwise performing activities associated with the AmeriCorps program or the Corporation, staff and members may not engage in the following activities:

a. Attempting to influence legislation.

b. Organizing or engaging in protests, petitions, boycotts, or strikes.

c. Assisting, promoting or deterring union organizing.

d. Impairing existing contracts for services or collective bargaining agreements.

e. Engaging in partisan political activities or other activities designed to influence the outcome of an election to any public office.

f. Participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials.

g. Engaging in religious instruction; conducting worship services; providing instruction as part of a Program that includes mandatory religious instruction or worship; constructing or operating facilities devoted to religious instruction or worship; maintaining facilities primarily or inherently devoted to religious instruction or worship; or engaging in any form of religious proselytization.

h. Providing a direct benefit to:

- **i.** A for-profit entity;
- **ii.** A labor union;
- **iii.** A partisan political organization; or
- **iv.** An organization engaged in the religious activities described in the preceding sub-clause, unless Grant funds are not used to support the religious activities.
- **v.** A nonprofit entity that fails to comply with the restrictions contained in section 501(c) (3) of U.S. Code Title 26.

i. Voter registration drives by AmeriCorps members is an unacceptable service activity. In addition, Corporation funds may not be used to conduct a voter registration drive.

j. Other activities as the Corporation determines will be prohibited, upon notice to the Grantee.

Individuals may exercise their rights as private citizens and may participate in the above activities on their initiative, on non-AmeriCorps time, and using non-Corporation funds. The AmeriCorps logo should not be worn while doing so.

5. FUND RAISING

a. Members. A member's service activities may not include organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar activities designed for the sole purpose of raising capital or obtaining contributions for the organization.

Service activities that raise funds or in-kind contributions while generating, involving and/or encouraging community support may be appropriate and allowable, such as serve-a-thons, to the extent they are in direct and immediate support of an approved objective of the Program and provided that they are not the Program's primary activity or involve significant amounts of an individual member's time.

Prohibited activities for members include preparing grant proposals, performing fund raising activities to help the Grantee achieve its matching requirements or to support an organization's general operating expenses, and providing fund raising assistance to other community-based organizations that do not provide immediate and direct support to a Grantee's approved Program objective.

b. Staff. An AmeriCorps staff member's time and related expenses may not be charged to the Corporation or Grantee share of the Grant while engaged in organized fund raising, including financial campaigns, endowment drives, the general solicitation of gifts and bequests, door-to-door solicitations, direct mail, or similar activities for which the sole purpose is raising capital or obtaining contributions for the organization. Expenses incurred to raise funds may be paid out of the funds raised. Development officers and fund-raising staff are not allowable expenses.

Staff time and effort spent on raising the match requirements should be incidental to the overall management of the Program, and should be focused primarily on developing and disseminating information to potential funders on the AmeriCorps Program and its achievements. Staff can make presentations and educate funders on objectives, goals and accomplishments. Efforts to involve the community in support of the AmeriCorps program, such as obtaining medical contributions or assistance at a health fair; donations of building supplies for an AmeriCorps construction project; and coordinating community participation in and support of a serve-a-thon and service activities are also allowable.

6. ELIGIBILITY, RECRUITMENT, AND SELECTION.

a. Eligibility to Enroll. The Grantee may select as AmeriCorps members only those individuals who are eligible to enroll in AmeriCorps. In order to be eligible, an individual must meet the statutory requirements in sections ii- iv of the definition of a member (Definitions, letter i). The Grantee is responsible for obtaining and maintaining adequate documentation to demonstrate the eligibility of members.

b. Recruitment.

i. Community Recruitment. The Grantee must seek to recruit Program members from the community in which the project is conducted, as well as members of diverse races, ethnicities, genders, ages, socioeconomic backgrounds, education levels, and mental and physical capabilities, unless and to the extent that the approved Program design requires emphasizing the recruitment of staff and members who share a specific characteristic or background. In no case may a Grantee violate the non-discrimination and non-displacement rules governing member selection.

ii. **National Recruitment.** To supplement local recruitment efforts, the Grantee is encouraged to request referrals of eligible individuals through the Corporation's national recruitment database and the various State Commissions' recruitment systems. Grantees may be asked to consider qualified individuals on the database, but will not be required to select anyone. Prospective AmeriCorps members may access the national recruitment database through the Corporation's toll-free number, 1-800-94-ACORP/1-800-942-2677 (voice), or 1-800-833-3722 (TDD).

c. **Selection**. The Grantee is responsible for establishing the minimum qualifications for membership in the Program, selecting members who meet those qualifications, and assigning members to projects that are appropriate to their skill levels. The Grantee must select members in a fair, non-partisan, non-political and non-discriminatory manner, without regard to the member's need for reasonable accommodation of a disability or child care, without displacing paid employees, and in accordance with its approved application. The Grantee is encouraged to select members who possess a commitment to the goals of AmeriCorps.

d. **Reasonable Accommodation**. Programs and activities must be accessible to persons with disabilities, and the Grantee must provide reasonable accommodation to the known mental or physical disabilities of otherwise qualified members, service recipients, applicants, and program staff. All selections and project assignments must be made without regard to the need to provide reasonable accommodation.

By far, the vast majority of accommodations are inexpensive. For those limited cases where reasonable accommodations are more costly, there is a limited amount of money available through State Commissions to provide accommodations for service members. By statute, only Subtitle C competitive State and National Direct AmeriCorps Programs may use these funds. The President’s Committee on Employment of People with Disabilities operates a toll-free, confidential, free resource for employers on reasonable accommodation requirements and options for accommodating employees at (800) 526-7234 (voice/TDD), e-mail at JAN@jan.icdi.wvu.edu, or website at www.pcepd.gov.

Accommodations that impose an undue financial or administrative burden on the operation of the program or fundamentally alter its nature are not reasonable accommodations. However, the Grantee must document and prove any undue burden. Similarly, a person who poses a direct threat to the health or safety to himself or herself or to others, where the threat cannot be eliminated by reasonable accommodation, is not a qualified individual with a disability. In such instances the Grantee must document and prove the direct threat.

e. **Level of Participation.** The Grantee must seek to enroll the number of full-time and part-time members agreed upon in its approved application. A Program should make every effort to enroll members so that each member has a reasonable expectation of completing his/her term of service by the end of the Program's budget period. Should a Program not be renewed, a member who was scheduled to continue in a term of service either may be placed in another Program where feasible, or a member can receive a pro-rated education award if the member has completed at least 15% of the service hour requirement.

f. **Member Classification.** AmeriCorps members are not employees of the Program or of the federal government. The definition of "participant" in the National and Community Service Act of 1990 as amended applies to AmeriCorps members. As such, "a participant (member) shall not be considered to be an employee of the Program in which the participant (member) is enrolled" (42 U.S.C. 12511(17) (B)). Moreover, members are not allowed to perform an employee's duties or otherwise displace employees.

   For the limited purposes of the Family and Medical Leave Act of 1993, the member may be considered an eligible employee of the project sponsor. The Family and Medical Leave Act's requirements as they apply to AmeriCorps Programs are contained in 45 C.F.R. 2540.220(b). Generally, this Act will apply only to second term members.

g. **Parental Consent**. Before enrolling in a Program, individuals under eighteen years of age must provide written consent from a parent or legal guardian.

h. **Criminal Record Checks.** Programs with members or employees who have substantial direct contact with children (as defined by state law) or who perform service in the homes of children or individuals considered vulnerable by the program, shall, to the extent permitted by state and local law, conduct criminal record checks on these members or employees as part of the screening process. This documentation must be maintained within member or employee files, or otherwise consistent with state law.

i. **Criminal Charges.** An AmeriCorps member who is officially charged with a violent felony, or with the sale or distribution of a controlled substance during a term of service will have his/her service suspended without a living allowance and without receiving credit for hours missed. The member may be reinstated into AmeriCorps service if he/she is found not guilty or if the charge is dismissed. If an AmeriCorps member who has been cleared of such charges is unable to complete his/her term of service within one year, he/she may accept a pro-rated education award as long as he/she has completed at least 15% (255 hours full-time/135 hours part-time) of his/her service.

An AmeriCorps member who is convicted of a criminal charge as described above must be terminated for cause from the program, and he/she is not eligible for any portion of an education award.

7. TRAINING, SUPERVISION AND SUPPORT

a. Planning for the Term of Service. The Grantee must develop member position descriptions that provide for direct and meaningful service activities and performance criteria that are appropriate to the skill level of members. Member activities may not include clerical work, research, or fund raising activities unless such activities are incidental to the member's direct service activities. The Grantee must ensure that each member has sufficient opportunity to complete the required number of hours to qualify for a post-service education award. In planning for the member's term of service, the Grantee must account for holidays and other time off, and must provide each member with sufficient opportunity to make up missed hours.

b. Member Contracts. The Grantee must require that members sign contracts that, at a minimum, stipulate the following:

- **i.** The minimum number of service hours and other requirements (as developed by the Program) necessary to successfully complete the term of service and to be eligible for the education award;
- **ii.** Acceptable conduct;
- **iii.** Prohibited activities;
- **iv.** Requirements under the Drug-Free Workplace Act (41 U.S.C. 701 *et seq.*);
- **v.** Suspension and termination rules;
- **vi.** The specific circumstances under which a member may be released for cause;
- **vii.** The position description;
- **viii.** Grievance procedures; and
- **ix.** Other requirements as established by the Program.

c. Training. Consistent with the approved budget, the Grantee must provide members with the training, skills, knowledge and supervision necessary to perform the tasks required in their assigned project positions, including specific training in a particular field and background information on the community served.

The Grantee must conduct an orientation for members and comply with any pre-service orientation or training required by the Corporation. This orientation should be designed to enhance member security and sensitivity to the community. Orientation should cover member rights and responsibilities, including the Program's code of conduct, prohibited activities, requirements under the Drug-Free Workplace Act (41 U.S.C. 701 *et seq.*), suspension and termination from service, grievance procedures, sexual harassment, other

non-discrimination issues, and other topics as necessary.

d. **Service-Learning.** The Grantee agrees to use service experiences to help members achieve the skills and education needed for productive, active citizenship, including the provision, if appropriate, of structured opportunities for members to reflect on their service experiences.

e. **Limit on Education and Training Activities.** No more than 20% of the aggregate of all AmeriCorps member service hours in a Program may be spent in education, training or other non-direct activities.

f. **Supervision.** The Grantee must provide members with adequate supervision by qualified supervisors in accordance with the approved application. The Grantee must establish and enforce a code of conduct for members.

g. **Performance Reviews.** The Grantee must conduct at least a mid-term and end-of-term written evaluation of each member's performance, focusing on such factors as:

i. Whether the member has completed the required number of hours;
ii. Whether the member has satisfactorily completed assignments; and
iii. Whether the member has met other performance criteria that were clearly communicated at the beginning of the term of service.

h. **Support Services.** The Grantee must provide specific support services to members who are school dropouts by assisting them in earning the equivalent of a high school diploma; and to members who are completing a term of service and are making the transition to other education and career opportunities.

i. **Registration to Vote.** The Grantee should encourage all eligible members to register and vote. However, the Grantee is prohibited from requiring members to register or to vote, and from attempting to influence how members vote. Members who are unable to vote before or after service hours should be allowed to do so during their service time without incurring any penalties. The site director should determine the length of absence.

j. **Jury Duty.** The Grantee must allow AmeriCorps members to serve on a jury without being penalized for doing so. During the time AmeriCorps members serve as jurors, they should continue to receive credit for their normal service hours, a living allowance, health care coverage and, if applicable, child care coverage regardless of any reimbursements for incidental expenses received from the court.

k. **Member Injury.** The Grantee must report any serious injuries to the appropriate Corporation Program Officer immediately.

l. Armed Forces Reserves. Generally, the Reserves of the U.S. Army, U.S. Navy, U.S. Air Force, U.S. Marine Corps, U.S. Coast Guard, the Army National Guard and the Air National Guard require reservists to serve one weekend a month plus 12 to 15 days a year (hereafter referred to as the two-week active duty service).

To the extent possible, grantees should seek to minimize the disruption in members' AmeriCorps service as a result of discharging responsibilities related to their reservist duties. If members have a choice of when to fulfill their annual two-week active duty requirement, they should do so when it will not disrupt their AmeriCorps service. In instances where the dates of active duty are inflexible and conflict with AmeriCorps service, members should be granted a leave of absence for the two-week period of active duty service in the Reserves. Members may not receive time-off for additional Reserves-related service beyond the two-week active duty service. No AmeriCorps service credit is earned for the once-a-month weekend service in the Reserves.

Grantees should credit members for AmeriCorps service hours during their two weeks of active duty service in the Reserves if it occurs during their AmeriCorps service. The member would receive credit for the number of hours he or she would have served during that period had there been no interruption. For example, if a full-time member is signed up to serve 30 hours of AmeriCorps service one week and 40 hours of AmeriCorps service on the following week, she or he would receive 70 hours of AmeriCorps service credit for the two weeks of active duty service regardless of the actual number of hours served in the Reserves.

Reservists in the U.S. Armed Forces receive compensation for their mandatory two-weeks of active duty service. The compensation regulations governing the Army and Air National Guard may vary by state.

Grantees should continue to pay the living allowance and provide health care and child care coverage for the two-week period of active duty.

8. TERMS OF SERVICE

a. Program Requirements. Each Program must, at the start of the term of service, establish the guidelines and definitions for the successful completion of the Program year, ensuring that these Program requirements meet the Corporation's service hour requirements as defined below:

i. Full-Time Members. Members must serve at least 1700 hours during a period of not less than nine months and not more than one year.

ii. Part-Time Members. Part-time members who are not enrolled in an institution of higher education must serve at least 900 hours during a period of not more than two years.

iii. **Reduced Part-Time Members**. Reduced part-time members must serve between 300 and 900 hours over a time not to exceed one year. Within a Program all reduced part-time members must serve the same number of hours unless advance approval is obtained from the AmeriCorps Program Office.

b. **Service in a Second Term**. Programs are under no obligation to enroll members for a second term of service. To be eligible for a second term, members must receive a satisfactory performance review for the first term of service. In any event, members may receive in-service and post-service benefits funded by the Corporation for only the first two terms of service.

c. **Notice to the Corporation's National Service Trust**. The Grantee must notify the Corporation's National Service Trust within 30 days in writing upon a member's enrollment in, completion of, lengthy or indefinite suspension from, or release from, a term of service. Lengthy or indefinite suspension of service is defined as any extended period during which the member is not serving service hours or receiving AmeriCorps benefits because it is unclear when the member might return to the Program. The Grantee also must notify the Trust when a change in a member's status is approved and changed (i.e. from full-time to part-time or vice versa). Failure to report such changes within 30 days may result in sanctions to the Grantee up to, and including suspension or termination. Grantees or sub-grantees properly utilizing WBRS meet notification requirements for member enrollment, changes of status and exits when they use that system to inform the Corporation within the approved time frames. Any questions regarding the Trust may be directed to (202) 606-5000 ext. 347.

d. **Notice to Child Care and Health Care Providers**. The Grantee must notify the Corporation's designated agents immediately in writing when a member's status changes such that it would affect eligibility for child care or health care. Examples of changes in status are converting a full-time member to part-time member, terminating or releasing members from service, and suspending members for cause for lengthy or indefinite time periods. Program directors should contact AmeriCorps®Care at 1-800-570-4543 on child care related changes, and their health insurance provider about health insurance related changes.

e. **Changing Member Status**. Circumstances may arise within a program that necessitates converting full-time members to part-time or vice versa. The following distinguishes between converting unfilled AmeriCorps member positions and converting currently enrolled members from their enrolled status. Note that once a member is given a partial education award, the remaining portion of that education award is not available for use.

Any change of member status that 1) necessitates a change in the number of full-time equivalent positions in the grant, or 2) requires an increase or decrease in the funding amount of the Grant requires prior written approval from the Corporation's Office of Grants Management.

i. **Unfilled Positions**. State Commissions and Parent Organizations are hereby delegated authority to approve or authorize the conversion of unfilled full-time member positions to part-time within the following parameters. The number of unfilled positions that may be converted may not exceed 20% of the Parent Organization's or specific State Commission Program's awarded full-time equivalent positions or 10 full-time equivalent positions, whichever is greater. For example, if a Parent Organization or specific State Commission Program was awarded 40 full-time equivalent positions, no more than 10 (the greater of 8 and 10) full-time equivalent positions may be converted for the program. If a Parent Organization or specific State Commission Program was awarded 100 full-time equivalent positions, no more than 20 (the greater of 20 and 10) full-time equivalent positions may be converted. When positions are converted, the number of full-time equivalents must remain the same within each program to maintain the equivalent estimated cost per member. In other words, if you want to replace 1 full-time unfilled member position, you must establish 2 part-time 900 hour positions.

   Changes that exceed the limits stated above must be approved in advance by the AmeriCorps Program Office.

   Conversely, unfilled part-time positions may be converted to full-time positions within the aforementioned constraints pertaining to number and percentage limitations, number of full-time equivalents, education awards provided, and available funds.

ii. **Enrolled Members.**

   (a) Full-Time: State Commissions and Parent Organizations may authorize or approve occasional changes of currently enrolled full-time members to part-time members within the first three months of the member's service and within the constraints defined above in section i.e. Impact on program quality should be factored into approval of requests. The Corporation will not cover health care or child care costs for part-time members, therefore appropriate adjustments must be made. It is not allowable to transfer currently enrolled full-time members to a part-time status simply to provide a part-time education award. A Change of Status form must be completed and forwarded to the Corporation within 30 days.

(b) Part-Time: Converting part-time members to full-time is discouraged because it is very difficult to facilitate, unless done very early in the member's term of service. State Commissions and Parent Organizations may authorize or approve such changes so long as they are within the first three months of the member's service, and the current budget can accommodate such changes. Programs must keep in mind that a member's minimum 1700 hours must be completed within 12 months of the member's original start date. A Change of Status form must be completed and forwarded to the Corporation within 30 days.

State Commissions and Parent Organizations must forward all changes and appropriate forms to the Corporation after approval. Any requests for changes that fall outside of the parameters set forth above, including those involving reduced part-time members, must come to the Corporation for written approval with concurrence from the State Commission or Parent Organization.

9. RELEASE FROM PARTICIPATION

Grantees may release members from participation for two reasons: (1) for compelling personal circumstances; and (2) for cause in accordance with 45 C.F.R. 2522.230.

a. Compelling Circumstances. The Grantee is responsible for determining whether a member's personal circumstances are sufficiently compelling to justify release on this basis. If a Grantee releases a member for compelling personal circumstances, the Grantee may elect either to authorize a pro-rated education award or temporarily to suspend service for up to two years. If a term of service is temporarily suspended, the member will not accrue service hours or receive benefits during this time period. In order to be eligible for a pro-rated education award, a member must have served a minimum of 15% of his or her term of service. If a Grantee releases a member on the grounds that an accommodation of a disability would impose an undue burden, the Grantee must document its determination and notify the Corporation. Such circumstances are to be considered "compelling" for purposes of this sub-clause. The Corporation for National and Community Service allows each program to decide on a case-by-case basis whether the situation warrants a member receiving a partial award. However, the Corporation's policy is that generally the compelling circumstance must be beyond the member's control.

Compelling personal circumstances include those that are beyond the member's control, such as, but not limited to:

- A member's disability or serious illness;
- Disability, serious illness or death of a member's family member if this makes completing a term unreasonably difficult or impossible; or

- Conditions attributable to the program or otherwise unforeseeable and beyond the member's control, such as a natural disaster, a strike, relocation of a spouse, or the nonrenewable or premature closing of a project or program, that make completing a term unreasonably difficult or impossible.

Compelling personal circumstances also include those that the Corporation has, for public policy reasons, determined as such, including:

- Military service obligations;
- Acceptance by a member of an opportunity to make the transition from welfare to work; or
- Acceptance of an employment opportunity by a member serving in a program that includes in its approved objectives the promotion of employment among its members.

If a member leaves AmeriCorps service for any of the reasons noted above and the Grantee or Sub-Grantee determines that the member has served at least 15% of his or her service (or 255 hours for full-time service), the member is eligible for a portion of the education award corresponding to the period served.

Compelling personal circumstances do not include leaving a program:

- To enroll in school;
- To obtain employment, other than in moving from a welfare to work or in leaving a program that includes in its approved objectives the promotion of employment among its members; or
- Because of dissatisfaction with the program.

If the member resigns for any of these reasons or other reasons that are within his or her control, the individual should receive no portion of the AmeriCorps education award. The member has the primary responsibility for demonstrating that compelling personal circumstances prevent the member from completing the term of service.

Grantees must make these determinations based on these criteria and indicate the reasons for early termination on the End of Term of Service forms.

b. **For Cause.** A release for cause encompasses any circumstances other than compelling personal circumstances that warrant a member's release from completing a term of service. The Grantee may release a member for cause according to the conditions of the Corporation and the member's contract. A Grantee must release a member for cause if the member is convicted of a violent felony or the sale or distribution of a controlled substance during a term of service. If the member is charged with a violent felony or the sale or distribution of a controlled substance, or convicted of the possession of a

controlled substance, the Grantee must suspend the member without any AmeriCorps benefits, including living allowance, and without receiving credit for hours missed. Any member who drops out of a Program without obtaining a release for compelling personal circumstances is considered to have been released for cause. A member released for cause may not receive any portion of an education award. A member wrongly released or suspended for cause will receive credit for any service missed and reimbursement for missed living allowances as specified in 45 C.F.R. 2522.230. Members are not eligible to receive any benefits or service hour credit upon release from service for cause.

c. Resumption of Service. Any member whose service was suspended because of being charged with a violent felony or sale or distribution of a controlled substance may be reinstated to service if the member is found not guilty or if the charge is dismissed. Any member whose service was suspended because of being convicted of a first offense of possession of a controlled substance may resume service by demonstrating that the member has enrolled in an approved drug rehabilitation Program. A member convicted of a second or third offense of possession of a controlled substance may resume service by demonstrating successful completion of a rehabilitation program.

In addition, any individual released for cause who wishes to reapply to the Program from which he or she was released or to any other AmeriCorps Program is required to disclose the release to that Program. Programs should inform members that failure to disclose to an AmeriCorps Program any history of having been released for cause from another AmeriCorps Program will render an individual ineligible to receive the AmeriCorps education award, whether or not that individual successfully completes the term of service.

10. MINOR DISCIPLINARY ACTIONS

The Grantee may temporarily suspend or impose a fine on a member for minor disciplinary reasons, such as chronic tardiness, as outlined in the conditions of the member contract.

a. Temporary Suspension of Service. The period of suspension does not count toward a member's required service hours. Further, members who are suspended for minor disciplinary reasons may not receive a living allowance for the suspension period.

b. Fines. If determined to be necessary for improvements in member performance or attendance, the Grantee may impose a reasonable fine on members for minor disciplinary problems consistent with the member contract. The fines may not be calculated on an hourly basis. For example, a member who is an hour late may not be fined an hour's worth of living allowance. Instead, the Grantee shall establish a written policy on fines,

which is not linked to an hourly rate. The Grantee may not deduct fines from the member's living allowance.

11. LIVING ALLOWANCES, OTHER IN-SERVICE BENEFITS AND TAXES

The living allowance match must come from non-federal sources; unless an exception for lack of available financial resources at the local level under 42 U.S.C. 12594 (g) is specifically approved in Section VII.

Special Conditions of the Award document - Programs that want to provide a living allowance in excess of the minimum amount stated in the Application Guidelines must provide a Grantee match for all funds over 85% of that minimum.

a. Living Allowances. Unless otherwise agreed upon, a Grantee must provide a living allowance to full-time members in accord with the following:

i. Full-Time requirements. Please refer to the Application Guidelines for current year amounts. The living allowance is based on the total average annual amount provided to VISTA volunteers. The Corporation will only fund up to 85% of the minimum living allowance. A minimum of 15% must be matched by non-federal sources. A program that wants to provide a living allowance in excess of the stated minimum must provide a Grantee match for all funds over 85% of that stated amount. If the program is permitted to provide a living allowance that is less than the stated minimum, the Corporation will only fund 85% of the actual amount.

ii. Part-Time Requirements. Programs are not required to pay part-time members living allowances. If a Program chooses to pay part-time members, it should prorate the full-time living allowance based on the part-time member's service. The Corporation will fund up to 85% of the pro-rated living allowance.

iii. Other Requirements. Programs may not provide a living allowance benefit above the maximum amount stated in the Application Guidelines for full-time members unless permitted under 42 U.S.C. 12594(c), or pro-rated based on number of hours for part-time. Programs in existence prior to September 21, 1993 may offer a lower living allowance than the stated minimum; however, Corporation funds will only support 85% of the actual amount.

b. Living Allowance Distribution. The living allowance is designed to help members meet the necessary living expenses incurred while participating in the AmeriCorps Program. Programs must not pay a living allowance on an hourly basis. It is not a wage and should not fluctuate based on the number of hours members serve in a given time period. Programs should pay the living allowance in increments, such as weekly or bi-weekly. Programs may use their organization's payroll system to process members' living allowances. However, if a payroll system cannot be altered and must show 40 hours in order to distribute a living allowance, then members' service hours

should be documented separately to keep track of their progress towards the Program's total required AmeriCorps service hours.

c. Waiving the Living Allowance. A member may waive all or part of the payment of a living allowance if he or she believes his or her public assistance may be lost because of the living allowance, with the following caveats:

- **i.** Even if a member waives his or her right to receive the living allowance, it is possible—depending on the specific public assistance program rules—that the amount of the living allowance that the member is eligible to receive will be deemed available;
- **ii.** Members may revoke the waiver at any time during the course of the program;
- **iii.** If a member revokes the waiver, he or she may begin receiving the living allowance only from the date on which the waiver was revoked; the member may not receive any portion of the living allowance that accrued during the waiver period.

d. Taxes and Insurance.

- **i. Liability Insurance.** The Grantee must have adequate general liability coverage for the organization, employees and members, including coverage of members engaged in on- and off-site project activities.
- **ii. FICA (Social Security and Medicare taxes).** Unless the Grantee obtains a ruling from the Internal Revenue Service that specifically exempts its AmeriCorps members from FICA requirements, the Grantee must pay FICA for any member receiving a living allowance. The Grantee also must withhold 7.65% from the member's living allowance.
- **iii. Income Taxes.** The Grantee must withhold Federal personal income taxes from member living allowances, requiring each member to complete a W-4 form at the beginning of the term of service and providing a W-2 form at the close of the tax year. The Grantee must comply with any applicable state or local tax requirements.
- **iv. Unemployment Insurance.** The U.S. Department of Labor ruled on April 20, 1995 that federal unemployment compensation law does not require coverage for members because no employer-employee relationship exists. The Grantee cannot charge the cost of unemployment insurance taxes to the Grant unless mandated by state law. Programs are responsible for determining the requirements of state law by consulting their State Commission, legal counsel or the applicable state agency. AmeriCorps*National and AmeriCorps*Tribes and Territories Grantees must coordinate with their State Commissions to determine a consistent state treatment of unemployment insurance requirements. State Commissions must coordinate the determination of the state's legal requirements to pay unemployment insurance for members with the Corporation's General Counsel.

v. **Worker's Compensation**. Worker's Compensation is an allowable cost to the Grant. The Grantee is responsible for determining whether state law requires the provision of worker's compensation for members. If a Program is not required by state law to provide worker's compensation, the Program must obtain Occupational Accidental Death and Dismemberment insurance coverage for members to cover in-service injury or incidents.

e. **Health Care Coverage.** The Grantee must provide a health care policy to those full-time members not otherwise covered by a health care policy at the time of enrollment into the AmeriCorps program, or to those members who lose coverage during their term of service as a result of participating in the Program or through no deliberate act of their own. The Corporation will not cover health care costs for family members or for part-time members.

i. **Minimum Benefits.** The health care policy must meet the following minimum benefits:

- Physician services for illness or injury;
- Hospital room and board;
- Emergency room;
- X-ray and laboratory;
- Prescription drugs;
- Limited mental/nervous disorders;
- Limited substance abuse coverage;
- An annual deductible of no more than $250 charges per member;
- No more than $1,000 total annual out-of-pocket per member;
- A 20% co-pay or a comparable fixed fee with the exception of a 50% co-pay for mental and substance abuse care; and
- A maximum benefit of $50,000.

ii. **Obtaining Health Care Coverage.** You may obtain health care insurance for your members through any provider you choose, as long as the policy provides the minimum benefits and is not excessive in cost. If you use a health care policy that charges more than $150 per month to the Corporation you must send a copy of the policy along with a summary of its coverage and costs to the Corporation's Office of Grants Management.

iii. **Part-Time Members**. Although no portion of health insurance expenses for part-time members may be paid from Corporation funds, you may choose to provide health care to part-time members from other sources.

iv. **Part-Time Members Serving in a Full-Time Capacity**. Part-time members who are serving in a full-time capacity for a sustained period of time (such as a full-time summer project) may be eligible for health care benefits supported with Corporation funds, although that coverage must be approved in the Grant or via prior written approval from the Corporation's Office of Grants Management.

f. Child Care. The Grantee must ensure that child care is made available to those full-time members who need such assistance in order to participate. Members are not eligible to receive child care from AmeriCorps while they are receiving child care subsidies from another source for the same period of AmeriCorps Service.

i. Member Eligibility. A member is considered to need child care in order to participate in the Program if:

(a) He or she is the parent or legal guardian (or acting in loco parentis) for a child under the age of 13 who resides with the member;
(b) He or she has a family income that does not exceed the state's income eligibility guidelines for a family of the same size. At a maximum, family income can be no more than 75% of the state's median income; and
(c) At the time of acceptance into the Program, he or she is not receiving child care from another available source which would continue to be provided while the member serves in the program.

ii. Qualified Providers. To be eligible for payment with AmeriCorps funds, a child care provider must qualify under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858c (4) (A)). Each state has its own criteria. Payments will not be made to ineligible providers.

iii. Administration of Child Care Payments. In general, the Corporation will provide for child care payments, which will be administered through the National Association of Child Care Resource and Referral Agencies (NACCRRA), hereafter referred to as AmeriCorps®CARE. Grantees that choose to provide child care as a match source (as approved in their budget) may use AmeriCorps®CARE for technical assistance. Grantees can contact AmeriCorps®CARE at 1-800-570-4543 with questions regarding child care.

iv. Program Director's Responsibilities. In addition to determining a member's eligibility at the start of the term of service, Program directors are required to notify AmeriCorps®CARE immediately in writing when:

(a) A member is no longer eligible for child care benefits due to a change in the member's eligibility status (e.g., family income exceeds the limit, the child turns 13, a full-time member becomes a part-time member, or a member leaves the Program);
(b) New or existing members become eligible for child care benefits;
(c) A member wishes to change child care providers or a child care provider will no longer provide child care services; or
(d) A member is absent from the Program for excessive periods of time (five or more days in a month).

Costs incurred due to the Grantee's failure to keep AmeriCorps®CARE immediately informed of changes in a member's status may be charged to the Grantee's organization.

v. **Part-Time Members.** Although no portion of child care expenses for part-time members may be paid from Corporation funds, Programs may choose to provide child care to part-time members from other sources.

vi. **Part-Time Members Serving in a Full-Time Capacity.** Part-time members who are serving in a full-time capacity for a sustained period of time (such as a full-time summer project) may be eligible for child care benefits supported with Corporation funds, although that coverage must be approved in the Grant or via prior written approval from the Corporation's Office of Grants Management.

vii. **Payments**. Payments or reimbursement for child care benefits will be made for eligible members to qualified providers from the date child care need was established after service began. No payments and reimbursements will be made in the event the AmeriCorps member was ineligible, or if the provider was not qualified under the state guidelines.

g. **Family and Medical Leave.** AmeriCorps members who have served for at least 12 months and 1250 hours can take family and medical leave in accordance with the Family and Medical Leave Act of 1993 (FMLA), provided the sponsoring institution, if non-federal, employs staff of more than 50 people. (See the Corporation's Regulations at 45 C.F.R. 2540.220) Under FMLA, members may take up to 12 weeks of unpaid leave during a 12 month period for the following reasons:

i. The birth of a child;

ii. The placement of a child with an AmeriCorps member through adoption or foster care;

iii. Serious illness of an AmeriCorps member's spouse, child or parent; or

iv. Serious illness prevents the AmeriCorps member from performing his or her essential service duties. According to Corporation regulations, a serious health condition is an illness requiring in-patient care or continuing treatment by a health care provider.

In the Grantee's discretion, temporary leave may also be authorized for the reasons allowed under FMLA to AmeriCorps members who do not otherwise meet the eligibility requirements for FMLA leave as described above. If temporary leave is appropriate, grantees have the flexibility to determine the duration of the absence for up to 12 weeks. The length of the leave must be based on two considerations: (1) the circumstances of the situation; and (2) the impact of the absence on the member's service experience and on the overall program. If the disruption would seriously compromise the member's service experience or the quality of the program as a whole, then the grantee may offer the member the option of rejoining the program in the next class or completely withdrawing from the program.

The grantee also may allow a member to take intermittent leave or reduce his or her service hours for any of the reasons mentioned above.

Grantees may continue to provide health care coverage to members on family and medical leave. If at the end of the leave, a member decides not to rejoin the program, FMLA allows grantees to recover their health premium payments, unless the reason for not returning is the continuation of the serious health condition or other circumstances beyond the member's control. However, given the small amounts involved (in most cases less than $300 per AmeriCorps member), Grantees may elect not to adopt this recovery policy.

Family and medical leave does not count toward the requisite service hours and members may not receive a living allowance during this period.

h. Federal Work Study. Upon approval by the Corporation's Program Office, Work Study students may be enrolled as AmeriCorps members. AmeriCorps member benefits are reserved to those individuals who enroll in an AmeriCorps position in a program that has been approved by the Corporation. Except as required by Federal Work Study regulations, AmeriCorps members may not be paid on an hourly basis**.**

Federal Work Study funds are treated as any other federal funds and do not change Grantee matching requirements.

12. POST-SERVICE EDUCATION AWARDS

In order for a member to receive a post-service education award from the National Service Trust, the Grantee must certify to the National Service Trust that the member is eligible to receive the education benefit. The Grantee must notify the National Service Trust on a form provided by the Corporation (electronic submission via WBRS suffices) when it enrolls a member for a term of service, when the member completes the term, and whenever there is a change in the member's status during the term (e.g., release for compelling circumstances or suspension). A member may receive a post-service education award only for the first two terms of service. For example, one full-time and one part time term of service count as two terms. If a member is released for reasons other than misconduct prior to completing 15% of a term of service, that term does not count as one of the two terms for which an education award may be provided. No Corporation or other federal funds may be used to provide member support costs for a third or subsequent term of service in an AmeriCorps State or National Program.

In order to receive a full education award, a member must perform the minimum hours of service as required by the Corporation and successfully complete the program requirements as defined by the Program. For example, if successful completion of a full-time program requires 1,800 service hours, members in that particular program are not eligible for an education award simply upon completion of 1,700 hours.

If a member is released from a Program for compelling personal circumstances, the member is eligible for a pro-rated education award based on the number of hours served, if it is at least 15% of the total required hours. Questions regarding authorized uses of the education award should be directed to the Trust at (202) 606-5000 ext. 347.

13. MATCHING REQUIREMENTS

a. Matching Obligation. The Grantee must provide and account for the matching funds as agreed upon in the approved application and budget. All programs are encouraged to raise some funds from the private sector, i.e. non-federal funds.

The Corporation requires, at a minimum, the following aggregate matches:

i. Member Support Costs : **15%**
including Living Allowance, FICA, Unemployment Insurance, Worker's Compensation and Health Care

ii. Program Operating Costs: 33%
including Other Member Costs, Staff, Operating Costs, Internal Evaluation and Administration

For further requirements, refer to OMB Circular A-102 and its implementation regulation (45 C.F.R. 2543) or A-110 (45 C.F.R. 2541), as applicable.

b. Cash Match for Member Support Costs. The Grantee's matching contributions for Member Support Costs (excluding health care) must be in non-federal monies, unless otherwise authorized in accordance with AmeriCorps Special Provision 11, Living Allowance. Tribal funds acquired through P.L. 93-638 are considered non-federal and may be used to match Member Support Costs. Unless otherwise agreed upon by the Corporation, programs must meet the grantee share of Member Support Costs, as indicated in the approved budget, during each reporting quarter.

c. Cash or In-Kind Match for Program Operating Costs. Contributions, including cash and third party in-kind, will be accepted as part of the Grantee's matching share for Program Operating Costs (defined as those other than the Member Support Costs) when such contributions meet all of the following criteria:

i. They are verifiable from Grantee records;
ii. They are not included as contributions for any other federally-assisted Program;
iii. They are necessary and reasonable for the proper and efficient accomplishment of Program objectives; and
iv. They are allowable under applicable cost principles.

d. **Cost Share.** As a general rule, the Corporation will treat cash or in-kind matching contribution that exceeds the required minimum as cost-share. The Corporation encourages private sector support over-and-above the matching fund requirement. All match contributions, including cost-share, should be reflected in the budget.

e. **Exception for Volunteer Community Service.** Because the purpose of this Grant is to enable and stimulate volunteer community service, the Grantee may not include the value of direct community service performed by volunteers. However, the Grantee may include the value of volunteer services contributed to the organization for organizational functions such as accounting, audit, training of staff and AmeriCorps Programs.

f. **Administrative Costs.** Administrative costs cannot exceed 5% of total Corporation funds actually expended. Administrative costs which exceed the Corporation's maximum administrative cost limit of 5% but which otherwise would have been allocable to the Grant, are allowable as the matching share under the Administrative costs budget line item. See General Provisions, Clause 22, Administrative Costs.

g. **Valuation.** The value of Grantee and third-party contributions of services and property will be determined in accordance with applicable cost principles set forth in OMB Circulars A-21, A-87 and A-122, and the approved budget.

14. MEMBER RECORDS AND CONFIDENTIALITY

a. **Record-Keeping.** The Grantee must maintain verifiable records which document each member's eligibility to serve based upon citizenship or lawful permanent residency, birth date, level of education attainment, date of high school diploma or equivalent certificate (if attained), participation start date and end date, hours of service per week, location of service activities and project assignment. The records must be sufficient to establish that the individual was eligible to participate in the Program and that the member successfully completed the Program requirements with a minimum of 1700 hours of participation as a full-time member, 900 hours of participation as a part-time member, or 300-900 hours of participation as a reduced part-time member. The signed member contract must also be maintained in Grantee files.

b. **No High School Diploma.** If a member does not have a high school diploma or its equivalent at the time of enrollment, the Grantee must maintain a record of the member's elementary or high school drop-out date, the member's written agreement to obtain a high school diploma or its equivalent before using the education award, and, if applicable, verification of the member's enrollment at an institution of higher education on an ability to benefit basis and eligibility for funds under section 484 of the Higher Education Act. If the member has been determined to be incapable of obtaining a high school

diploma or its equivalent, the Grantee must retain a copy of the supporting independent evaluation.

c. Confidential Member Information. The Grantee must maintain the confidentiality of information regarding individual members. The Grantee must obtain the prior written consent of all members before using their names, photographs and other identifying information for publicity, promotional or other purposes. Parental or legal guardian consent must be obtained for members under 18 years of age. Grantees may include an informed consent form as part of the member contract materials that are signed at the time the member enrolls.

Grantees may release aggregate and other non-identifying information, and are required to release member information to the Corporation and its designated contractors. The Grantee must permit a member who submits a written request for access to review records that pertain to the member and were created pursuant to this Grant.

15. BUDGET AND PROGRAMMATIC CHANGES

a. Programmatic Changes. The State Commission or Parent Organization must obtain the prior written approval of the Corporation before making the following changes in the approved Program:

i. Changes in the scope, objectives or goals of the Program, whether or not they involve budgetary changes (approval required from the AmeriCorps program office);
ii. Substantial changes in the level of participant supervision (approval required from the AmeriCorps program office);
iii. Entering into sub-Grants or contracting out any AmeriCorps Program activities funded by the Grant and not specifically identified in the approved application and grant (approval required from the Office of Grants Management).

b. Changes in the Budget. The Grantee must obtain the prior written approval of the Corporation's Office of Grants Management before deviating from the approved budget in any of the following ways:

i. Reallocation of Funds from the "Member Support Cost" category to other categories of the approved budget. However, the Grantee may reallocate funds within the line items in this category, except for increases in health care cost per member, which must be approved. The specific line items covered by this subclause are:

(a) Living allowance,
(b) FICA, worker's compensation, and unemployment insurance and
(c) Health care (or alternative health care).

ii. **Specific Costs Requiring Prior Approval Before Incurrence** under OMB Circulars A-21, A-87 or A-122. For certain cost items, the cost circulars require approval of the awarding agency for the cost to be allowable. Examples of these costs are overtime pay, rearrangement and alteration costs, and pre-award costs.

iii. **Purchases of Equipment over $5,000** using Grant funds, unless specified in the approved application and budget.

c. **Approvals of Programmatic and Budget Changes.** The Corporation's Grants Officers are the only officials who have the authority to alter or change the provisions or requirements of the Grant. The Grants Officers will execute written amendments or changes to the Grant, and Grantees should not assume approvals have been granted unless documentation from the Grants Office has been received.

16. REPORTING REQUIREMENTS

a. **Financial Status and Progress Reports.** Each Grantee must submit these reports by the given dates and include 2 copies along with the original. Extensions of reporting deadlines will be granted only when 1) the report cannot be furnished in a timely manner for reasons legitimately beyond the control of the grantee and 2) the Corporation receives a request explaining the need for an extension before the deadline passes. Extensions of deadlines for FSRs (SF 269a) may only be granted by the Office of Grants Management, and extensions of deadlines for Progress Reports may only be granted by the AmeriCorps Program Office.

i. **Financial Status Reports.** AmeriCorps Sub-Grantees must submit at least two Financial Status Reports to their respective Grantee. In general, if a Sub-Grantee has a Corporation-approved budget then an FSR for that Sub-Grantee is required. Grantees must set their own submission deadlines for their respective Sub-Grantees. Grantees are required to forward Sub-Grantee Financial Status Reports to the Corporation's Grants Office 30 days after the close of each designated calendar quarter. Grantees or Sub-Grantees properly utilizing WBRS meet financial reporting requirements when they use that system to submit reports within the approved time frames. Financial Status Reports will be due 5/1 for the periods ending 3/31 and 10/31 for the periods ending 9/30.

ii. **Progress Reports.**
Grantees that re-compete and are currently in the final year of a multi-year project period will submit one progress report for the current budget period. This report will be due 10/31 for the period ending 9/30.

Grantees that submit a continuation request (typically those that are currently in the first or second year of a three project period) will submit

two progress reports for the current budget period. The first progress report will be submitted as part of the continuation application. The second progress report will be due 10/31 for the period ending 9/30.

Grantees are required to submit annual progress reports to the Corporation's Program Office. Grantees or sub-grantees properly utilizing WBRS meet Program reporting requirements when they use that system to submit reports within the approved time frames.

iii. **Annual/Final Reports.** Grantees completing the final year of their grant must submit, in addition to the Progress Report due 10/31, a final Progress Report that is cumulative over the entire project period. This progress report is due within 90 days after the close of the grant.

iv. **Final Financial Status Reports.** Grantees completing the final year of their grant must submit, in lieu of the last semi-annual FSR, a final FSR that is cumulative over the entire project period. This FSR is due within 90 days after the end of the project period.

b. **AmeriCorps Member-Related Forms.** The following documents are required from the Grantee (Grantees or sub-grantees utilizing WBRS meet submission requirements when they use that system to submit reports within the approved time frames):

i. **Enrollment Forms.** State Commissions and Parent Organizations must submit Member Enrollment Forms to the Corporation no later than 30 days after a member is enrolled.

ii. **Change of Status Forms.** State Commissions and Parent Organizations must submit Member Change of Status Forms to the Corporation no later than 30 days after a member's status is changed. By forwarding Member Change of Status Forms to the Corporation, State Commissions and Parent Organizations signal their approval of the change.

iii. **Exit/End-of-Term-of-Service Forms.** Programs must submit Member Exit/End-of-Term-of-Service Forms to the Corporation no later than 30 days after a member exits the program or finishes his/her term of service.

c. **Accomplishment Surveys.** The Annual Accomplishments Report is a survey used to compile all AmeriCorps achievements during the program year and is being incorporated into WBRS for those grantees that use WBRS for providing Progress Reports. During the course of the year, a contractor will contact programs regarding details and the administration of the survey.

For fall start-ups, the AAR is due October 31 of the program year; for January start-ups, the AAR is due January 31 of the program year.

d. Benefit Provider Documentation. Programs are responsible for contacting applicable benefit providers immediately and when a change of status affects the eligibility of a member or when a member leaves the program early.

17. GRANT PERIOD AND INCREMENTAL FUNDING.

For the purpose of the Grant, a project period is the complete length of time the Grantee is proposed to be funded to complete approved activities under the grant. A project period may contain one or more budget periods. A budget period is a specific interval of time for which Federal funds are being provided to fund a Grantee's approved activities and budget.

Unless otherwise specified, the Grant covers a three-year project period. In approving a multi-year project period the Corporation makes an initial award for the first budget period. Additional funding is contingent upon satisfactory progress and the availability of funds. The project period and the budget period are noted on the award document.

C. GENERAL PROVISIONS

18. LEGISLATIVE AND REGULATORY AUTHORITY

This Grant is authorized by and subject to the National and Community Service Act of 1990 as amended, codified as 42 U.S.C. 12501 *et seq*., and 45 C.F.R. 2510 *et seq*.

19. OTHER APPLICABLE STATUTORY AND ADMINISTRATIVE PROVISIONS

The following applicable federal cost principles, administrative requirements and audit requirements are incorporated by reference:

a. States, Indian Tribes, U.S. Territories, and Local Governments. The following circulars and their implementing regulations apply to states, Indian tribes, U.S. territories, and local governments:

- **i.** Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments -- 45 C.F.R. 2541.
- **ii.** OMB Circular A-87, Cost Principles for State and Local Governments.
- **iii.** OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

b. Nonprofit Organizations. The following circulars and their implementing regulations apply to nonprofit organizations:

- **i.** Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations -- 45 C.F.R. 2543.
- **ii.** OMB Circular A-122, Cost Principles for Nonprofit Organizations.
- **iii.** OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

c. Educational Institutions. The following circulars and their implementing regulations apply to educational institutions:

- **i.** Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations -- 45 C.F.R. 2543.
- **ii.** OMB Circular A-21, Cost Principles for Educational Institutions.
- **iii.** OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

d. Other Applicable Statutes and Regulations. The Grantee must comply with all other applicable statutes, executive orders, regulations and policies governing the Program, including but not limited to those cited in these Grant

Provisions, the Grant Assurances and Certifications, and those cited in 45 C.F.R. Parts 2541 and 2543.

20. RESPONSIBILITIES UNDER GRANT ADMINISTRATION

a. Accountability of Grantee. The Grantee has full fiscal and programmatic responsibility for managing all aspects of grant and grant-supported activities, subject to the oversight of the Corporation. The Grantee is accountable to the Corporation for its operation of the AmeriCorps Program and the use of Corporation grant funds. It must expend grant funds in a judicious and reasonable manner. Although Grantees are encouraged to seek the advice and opinion of the Corporation on special problems that may arise, such advice does not diminish the Grantee's responsibility for making sound judgments and does not mean that the responsibility for operating decisions has shifted to the Corporation.

b. Notice to Corporation. The Grantee will notify the appropriate Corporation's Program or Grants Officer immediately of any developments or delays that have a significant impact on funded activities, any significant problems relating to the administrative or financial aspects of the Grant, or any suspected misconduct or malfeasance related to the Grant or Grantee. The Grantee will inform the Corporation official about the corrective action taken or contemplated by the Grantee and any assistance needed to resolve the situation.

c. Notice to the Corporation's Office of Inspector General. The Grantee must notify the Office of Inspector General immediately of losses of federal funds or goods/services supported with federal funds, or when information discovered by someone at a program indicates that there has been waste, fraud or abuse, or any violation of criminal law, at the program or at a sub-grantee.

21. FINANCIAL MANAGEMENT PROVISIONS

a. General. The Grantee must maintain financial management systems that include standard accounting practices, sufficient internal controls, a clear audit trail and written cost allocation procedures as necessary. Financial management systems must be capable of distinguishing expenditures attributable to this Grant from expenditures not attributable to this Grant. This system must be able to identify costs by programmatic year and by budget category and to differentiate between direct and indirect costs or administrative costs. For further details about the Grantee's financial management responsibilities, refer to OMB Circulars A-102 (for State and Local Governments) and A-110 (for Institutions of Higher Education and Non-Profit Organizations).

b. Source Documentation. The Grantee must maintain adequate supporting documents for its expenditures (federal and non-federal) and in-kind

contributions made under this Grant. Costs must be shown in books or records [e.g., a disbursement ledger or journal], and must be supported by a source document, such as a receipt, travel voucher, invoice, bill, in-kind voucher, or similar document.

c. Time and Attendance Records.

i. Staff.

(a) Except as provided in (b) and (c) below, salaries and wages charged directly to this Grant or charged to matching funds must be supported by signed time and attendance records for each individual employee regardless of position, and by documented payrolls approved by a responsible official of the Grantee. Except as provided in (b) and (c) below, salaries and wages chargeable between this Grant and other programs or functions of the Grantee organization must be supported by signed time and attendance records for each individual regardless of position appropriately distributing the individual's time to the different programs or functions.

(b) Educational institutions are not required to support charges for salaries and wages with signed time and attendance records for professorial and professional staff if they are in compliance with the criteria in Section 8.b of OMB Circular A-21 for acceptable methods of documenting the distribution of charges for personal services.

(c) State, Local and Indian Tribal governmental units are not required to support charges for salaries and wages with signed time and attendance records if they are in compliance with the standards of Section 11.h of OMB Circular A-87 for the support and documentation of salaries and wages.

ii. AmeriCorps Members. The Grantee must keep time and attendance records on all AmeriCorps members in order to document their eligibility for in-service and post-service benefits. Time and attendance records must be signed both by the member and by an individual with oversight responsibilities for the member.

d. Audits. A grantee organization that expends $300,000 or more of total federal awards in a fiscal year is required to obtain a single audit for that year conducted by an independent auditor in accordance with the Single Audit Act, as amended, 31 U.S.C. 7501, et seq., and OMB Circular A-133. (If the grantee expends federal awards under only one federal program, it may elect to have a program specific audit, if it is otherwise eligible.) A grantee that does not expend $300,000 in federal awards is exempt from the single audit requirements of OMB Circular A-133 for that year. However, it must continue to conduct financial management reviews of its programs, and records must be available for review and audit.

A recipient of a Federal grant (pass-through entity) is required in accordance with paragraph 400(d) of OMB Circular A-133 to do the following with regard to its subrecipients: (1) identify the Federal award and funding source; (2) advise subrecipients of all requirements imposed on them; (3) monitor subrecipient activities and compliance; (4) ensure subrecipients have A-133 audits when required; (5) issue decisions and ensure follow-up on audit findings in a timely way; (6) where necessary, adjust its own records and financial statements based on audits; and (7) require subrecipients to permit access by the pass-through entity and auditors to records and financial statements as necessary for the pass-through entity to comply with A-133.

e. Consultant Services. Payments to individuals for consultant services under this Grant will not exceed $443.00 per day (exclusive of any indirect expenses, travel, supplies and so on).

22. ADMINISTRATIVE COSTS.

a. Definitions. "Administrative costs" means general or centralized expenses of overall administration of an organization that receives Corporation funds and does not include particular Program or project costs. For organizations that have an established indirect cost rate for federal awards, administrative costs mean those costs that are included in the organization's indirect cost rate. Such costs are generally identified with the organization's overall operation and are further described in OMB Circulars A-21, A-87 and A-122. For organizations that do not have an established indirect cost rate for federal awards, administrative costs include:

i. Costs for financial, accounting, auditing, contracting or general legal services except in unusual cases where they are specifically approved in writing by the Corporation as program costs;

ii. Costs for internal evaluation, including overall organizational management improvement costs (except for independent and internal evaluations of the Program or project evaluations that are specifically related to creative methods of quality improvement); and

iii. Costs for general liability insurance that protects the organization(s) responsible for operating a Program or project, other than insurance costs solely attributable to the Program or project.

Administrative costs may also include that portion of salaries and benefits of the Program's director and other administrative staff not attributable to the time spent in support of a specific Program or project. The principles that pertain to the allocation and documentation of personnel costs are stated in the OMB circulars that are incorporated in Corporation regulations [45 CFR 2541.220(b)].

Administrative costs generally do not include the following allowable expenses directly related to a Program or project (including their operations and objectives), such as:

i. Allowable direct charges for members, including living allowances, insurance payments made on behalf of members, training and travel;

ii. Costs for staff (including salary, benefits, training and travel) who recruit, train, place or supervise members or who develop materials used in such activities, if the purpose is for a specific Program or project objective;

iii. Costs for independent evaluations and any internal evaluations of the Program or project that are related specifically to creative methods of quality improvement;

iv. Costs, excluding those already covered in an organization's indirect cost rate, attributable to staff that work in a direct Program or project support, operational, or oversight capacity, including, but not limited to: support staff whose functions directly support Program or project activities; staff who coordinate and facilitate single or multi-site Program and project activities; and staff who review, disseminate and implement Corporation guidance and policies directly relating to a Program or project;

v. Space, facility and communication costs that primarily support Program or project operations, excluding those costs that are already covered by an organization's indirect cost rate; and

vi. Other allowable costs, excluding those costs that are already covered by an organization's indirect cost rate, specifically approved by the Corporation as directly attributable to a Program or project.

b. Limitation by Statute. Administrative costs cannot exceed 5% of total Corporation funds actually expended under this award.

c. Fixed 5%. If approved on a case-by-case basis by the Corporation, the grantee may charge, for administrative costs, a fixed 5% of the total of the Corporation funds expended. In order to charge this fixed 5%, the grantee match for administrative costs may not exceed 10% of all direct cost expenditures. These rates may be used without supporting documentation and are in lieu of an indirect cost rate.

d. Indirect Cost Rates.

i. If grantees have an approved indirect cost rate, such rate will constitute documentation of the grantee's administrative costs including the 5% maximum payable by the Corporation and the grantee match of administrative costs.

ii. If a grantee wants to claim more than 10% match in administrative costs it must have or obtain an approved indirect cost rate. Where appropriate, the Corporation will establish an indirect cost rate that may be used for this and other federal awards.

e. Consistency of Treatment. To be allowable under an award, costs must be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization. Furthermore, the costs must

be accorded consistent treatment in both federally financed and other activities as well as between activities supported by different sources of federal funds.

23. EQUIPMENT AND SUPPLIES COSTS

Equipment and supplies will be handled in accordance with 45 C.F.R. 2541 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Government or with 45 C.F.R. 2543 – Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

24. PROJECT INCOME

a. General. Income earned as a direct result of the Program's activities during the award period will be retained by the Grantee and used to finance the non-Corporation share of the Program.

b. Fees for Service. When using assistance under this Grant, the Grantee may not enter into a contract for or accept fees for service performed by members when:

- **i.** The service benefits a for-profit entity;
- **ii.** The service falls within the other prohibited Program activities set forth in Clause 4 of these Grant Provisions; or
- **iii.** The service violates the non-displacement Provisions of the Act set forth in Clause 31 of these Grant Provisions.

25. PAYMENTS UNDER THE GRANT

a. Advance Payments. The Grantee may receive advance payments of Grant funds, provided the Grantee meets the financial management standards specified in OMB Circular A-102 and its implementing regulations (45 C.F.R. 2541) or A-110 and its implementing regulations (45 C.F.R. 2543), as applicable.

b. Immediate Cash Flow Needs. The amount of advance payments requested by the Grantee must be based on actual and immediate cash needs in order to minimize federal cash on hand in accordance with policies established by the U.S. Department of the Treasury in 31 C.F.R. 205.

c. Discontinuing Advance Payments. If a Grantee does not establish procedures to minimize the time elapsing between the receipt of the cash advance and its disbursement, the Corporation may, after providing due notice to the Grantee, discontinue the advance payment method and allow payments in advance only by individual request and approval or by reimbursement.

d. Interest-Bearing Accounts. The Grantee must deposit advance funds received from the Corporation in federally-insured, interest-bearing accounts. The exceptions to this requirement follow:

i. Institutions of Higher Education and Other Non-Profit Organizations. If a Grantee is covered by 45 C.F.R. 2543 it must maintain advance funds in interest-bearing accounts unless:

(a) It receives less than $120,000 in federal funds per year;
(b) The best reasonably available account would not be expected to earn interest in excess of $250 per year on federal cash balances; or
(c) The required minimum balance is so high that it would not be feasible within expected federal and non-federal cash resources.

Earned interest must be remitted annually to HHS-PMS, Rockville, MD 20852. Grantees may keep up to $250 of interest per year to offset administrative expenses.

ii. State and Local Governments. All Grantees and sub-Grantees covered by 45 C.F.R. 2541, with the exception of State Governments and Indian Tribes, must remit earned interest quarterly to the Corporation. Grantees may keep up to $100 of the earned interest per year to offset administrative expenses.

26. RETENTION OF RECORDS

The Grantee must retain and make available all financial records, supporting documentation, statistical records, evaluation data, member information and personnel records for 3 years from the date of the submission of the final Financial Status Report (SF 269A). If an audit is started prior to the expiration of the 3-year period, the records must be retained until the audit findings involving the records have been resolved and final action taken.

27. SITE VISITS

The Corporation reserves the right to make site visits to review and evaluate Grantee records, accomplishments, organizational procedures and financial control systems; to conduct interviews; and to provide technical assistance as necessary. To the extent feasible, these will be coordinated with, and in most cases organized by, State Commissions for AmeriCorps*State programs, parent organizations for AmeriCorps*National project sites, and Program Officers for AmeriCorps*Tribes and Territories Programs. Site visits will be made in the least disruptive manner possible.

28. LIABILITY AND SAFETY ISSUES

a. Liability Insurance Coverage. The Grantee must have adequate liability insurance coverage for the organization, employees and members, including coverage of members engaged in on- and off-site project activities.

b. Member Safety. The Grantee must institute safeguards as necessary and appropriate to ensure the safety of members. Members may not participate in projects that pose undue safety risks. Public safety Programs and other Programs posing a significant risk to members must adhere to applicable provisions of the safety protocol issued by the Corporation and found in the Program Directors' Manual.

29. DRUG-FREE WORKPLACE

a. Notice to Employees and Members. In accordance with the Drug-Free Workplace Act, 41 U.S.C. 701 et seq., implementing regulations, 45 C.F.R. 2542, and the Grantee's certification, the Grantee must publish a statement notifying employees and members that:

- **i.** The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the Grantee's workplace and Program;
- **ii.** Conviction of any criminal drug statute must be reported immediately to the Grantee;
- **iii.** That the employee's employment or member's participation is conditioned upon compliance with the notice requirements; and
- **iv.** Certain actions will be taken against employees and members for violations of such prohibitions.

b. Criminal Drug Convictions. The Grantee's employees and members must notify the Grantee in writing of any criminal drug convictions for a violation occurring in the workplace or during the performance of project activities no later than 5 days after such conviction. The Grantee must notify the Corporation within 10 days of receiving notice of such conviction. The Grantee must take appropriate action against such employee or member, up to and including termination or member release for cause consistent with the Corporation's rules on termination and suspension of service, or require the employee or member to satisfactorily participate in an approved drug abuse assistance or rehabilitation Program.

c. Drug-Free Awareness Program. The Grantee must establish a drug-free awareness Program to inform employees and members about the dangers of drug abuse in the workplace, the Grantee's policy of maintaining a Drug-Free workplace, any available drug counseling, rehabilitation, and employee

assistance and member support services, and the penalties that may be imposed for drug abuse violations.

d. **Grantee Non-Compliance.** The Grantee is subject to suspension, termination or debarment proceedings for failure to comply with the Drug-Free Workplace Act.

e. **Non-Discrimination and Confidentiality Laws.** In implementing the Drug-Free Workplace Act, the Grantee must adhere to federal laws and its Grant assurances related to alcohol and substance abuse non-discrimination and confidentiality.

30. NON-DISCRIMINATION

a. **Assurances.** The Grantee must assure that its program or activity, including those of its subgrantees, will be conducted, and facilities operated, in compliance with the applicable statutes set forth below, as well as with their implementing regulations. The Grantee must obtain an assurance of such compliance prior to extending Federal financial assistance to subgrantees. The U.S. Government shall have the right to seek judicial enforcement of these assurances.

b. **Discrimination Prohibited.** A person, including a member, a service recipient, or Program staff, may not, on the grounds of race, color, national origin, sex, age, political affiliation, disability, or religion be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination, directly or through contractual or other arrangements, under any program or activity receiving federal financial assistance. The prohibition on discrimination on the basis of disability protects otherwise qualified individuals with disabilities. The prohibition against discrimination on the basis of religion with respect to Program staff applies only to Program staff paid with Corporation funds but excludes staff paid with Corporation funds who were employed by the Grantee on the date the Corporation grant was awarded

This prohibition against discrimination includes but is not limited to:

i. Denying an opportunity to participate in, benefit from, or provide a service, financial aid, or other benefit;
ii. Providing an opportunity which is different or provided differently;
iii. Denying an opportunity to participate as a member of a planning or advisory body integral to the program;
iv. Segregating or subjecting a person to separate treatment;
v. Providing an aid, benefit, or service to a qualified disabled person that is less effective in affording opportunity to obtain the same result, gain the same benefit, or reach the same level of achievement;

vi. Denying a qualified disabled person the opportunity to participate in integrated programs or activities, even though permissibly separate or different programs or activities exist;

vii. Restricting a person's enjoyment of an advantage or privilege enjoyed by others;

viii. Providing different or separate aid, benefits, or services to disabled persons unless necessary in order to provide them as effectively as provided to others;

ix. Treating a person differently in determining admission, enrollment, quota, eligibility, membership or other requirements;

x. Using criteria or administrative methods, including failing to provide needed auxiliary aids for disabled persons, which have the effect of subjecting persons to discrimination, or defeating or substantially impairing achievement of the objectives of the program for a person;

xi. Selecting a site or location of facilities with the purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination under the program;

xii. Denying a qualified disabled person a benefit, aid, or participation because facilities whose groundbreaking occurred after May 30, 1979 are inaccessible to or unusable by disabled persons or because programs or activities in facilities predating May 30, 1979, when viewed in their entirety, are inaccessible to or unusable by disabled persons; and

xiii. Failing to provide reasonable accommodation to otherwise qualified individuals with disabilities.

c. **Public Notice of Nondiscrimination**. The Grantee must notify members, service recipients, applicants, Program staff, and the public, including those with impaired vision or hearing, that it operates its program or its activity subject to the nondiscrimination requirements of the applicable statutes. The notice must summarize the requirements, note the availability of compliance information from the Grantee and the Corporation, and briefly explain procedures for filing discrimination complaints with the Corporation. Sample language is:

It is against the law for organizations that receive federal financial assistance from the Corporation for National and Community Service to discriminate on the basis of race, color, national origin, disability, sex, age, political affiliation, or, in most programs, religion. It is also unlawful to retaliate against any person who, or organization that, files a complaint about such discrimination.

In addition to filing a complaint with local and state agencies that are responsible for resolving discrimination complaints, you may bring a complaint to the attention of the Corporation for National and Community Service. If you believe that you or others have been discriminated against, or if you want more information, contact:

(Name, address, phone number – both voice and TDD, and preferably toll free – FAX number and e-mail address of the Grantee) or

Equal Opportunity Office
Corporation for National and Community Service
1201 New York Avenue, NW
Washington, D.C. 20525
(202) 606-5000, ext. 312 (voice); (202) 565-2799 (TDD)
(202) 565-2816 (FAX); eo@cns.gov (e-mail)

The Grantee must include information on civil rights requirements, complaint procedures and the rights of beneficiaries in member contracts, handbooks, manuals, pamphlets, and post in prominent locations, as appropriate. The Grantee must also notify the public in recruitment material and application forms that it operates its program or activity subject to the nondiscrimination requirements. Sample language, in bold print, is "This program is available to all, without regard to race, color, national origin, disability, age, sex, political affiliation, or, in most instances, religion." Where a significant portion of the population eligible to be served needs services or information in a language other than English, the Grantee shall take reasonable steps to provide written material of the type ordinarily available to the public in appropriate languages.

d. Records and Compliance Information. The Grantee must keep records and make available to the Corporation timely, complete and accurate compliance information to allow the Corporation to determine if the Grantee is complying with the civil rights statutes and implementing regulations. Where a Grantee extends federal financial assistance to subgrantees, the subgrantees must make available compliance information to the Grantee so it can carry out its civil rights obligations.

The Corporation will provide specific guidance regarding records and compliance information. At a minimum, the Grantee should have available racial, ethnic, sex, and disability data regarding members/applicants, service recipients/applicants and Program staff/applicants. This data should be sufficient to measure the distribution of benefits to the eligible population and evaluate the services provided to the different segments of the population being served. Data on members and Program staff should be gathered, on a voluntary basis, directly from the individuals. Data on service recipients may be gathered, estimated, or based on census or other statistics.

Racial and ethnic data should be gathered for the following categories:

Hispanic/Latino/Spanish culture or origin or non-Hispanic/Latino/Spanish culture or origin (one or the other) and one or more of the following:

- **American Indian or Alaska Native**
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White

e. **Obligation to Cooperate.** The Grantee must cooperate with the Corporation so that the Corporation can ensure compliance with the civil rights statutes and implementing regulations. The Grantee shall permit access by the Corporation during normal business hours to its books, records, accounts, staff, members, facilities, and other sources of information as may be needed to determine compliance.

f. **Discrimination Complaints, Investigations and Compliance Reviews**. The Corporation may review the practices of the Grantee to determine civil rights compliance. Any person who believes discrimination has occurred may file a discrimination complaint with the Corporation's Equal Opportunity Office. The Grantee may not intimidate, threaten, coerce, or discriminate against an individual to interfere with a right or privilege secured by the civil rights acts or because the person made a complaint, testified, assisted or participated in any manner in an investigation, proceeding, or hearing. The Corporation will keep the identity of complainants and witnesses confidential except as necessary to conduct an investigation, hearing, or judicial proceeding.

The Corporation will investigate whenever a compliance review, report, complaint, or other information indicates a possible failure to comply with the statutes and their implementing regulations. If an investigation indicates a failure to comply, the Corporation will so inform the Grantee and any applicable subgrantees and will attempt to resolve the matter by voluntary means. If the matter cannot be resolved by voluntary means, the Corporation will initiate formal enforcement action.

Discrimination complaints may be raised through the Grantee's grievance procedure. Use of the Grantee's grievance procedure may not be a required precursor to filing a federal discrimination complaint with the Corporation. Use of the Grantee's grievance procedure does not preclude filing a federal discrimination complaint. The Grantee's grievance procedure should advise members that use of the grievance procedure does not stop the running of Corporation time frames for filing a discrimination complaint with the Corporation. In all cases where discrimination allegations have been raised with the Grantee, the Grantee must submit a written report to the Corporation's Equal Opportunity Office, which has a review authority over the investigation and disposition of all discrimination complaints.

g. **Self-Evaluation Requirements.** The Grantee must comply with (1) the self-evaluation requirements under section 504 of the Rehabilitation Act regarding accessibility for individuals with disabilities; (2) the self-evaluation

requirements of the Age Discrimination Act of 1975; and (3) the self-evaluation requirements under title IX of the Education Amendments of 1972 regarding discrimination based on sex. Guidance regarding the self-evaluation requirements may be obtained from the Corporation's Equal Opportunity Office, 1201 New York Avenue, NW, Washington, D.C. 20525, (202) 606-5000, ext. 312 (voice); (202) 4565-2799 (TDD); (202) 565-2816 (FAX); or eo@cns.gov (e-mail).

h. Applicable Statutes. In accordance with its assurances, the Grantee must comply with all federal statutes relating to non-discrimination to the extent applicable, including, but not limited to titles VI and VIII of the Civil Rights Act of 1964 (42 U.S.C. 2000d and 3601 *et seq*.), section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), title IX of the Education Amendments of 1972 (20 U.S.C. 1681 *et seq.*) the Age Discrimination Act of 1975 (42 U.S.C. 6101 *et seq*.), the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290ee-3), and the requirements of any other non-discrimination provision in the National and Community Service Act of 1990, (42 U.S.C. 12635) or any other applicable non-discrimination provision.

31. SUPPLEMENTATION, NON-DUPLICATION AND NON-DISPLACEMENT

a. Supplementation. Grant funds may not be used to replace state or local public funds that had been used to support Programs or projects of the type eligible to receive Corporation Grant funds. For any given Program, this condition will be satisfied if the aggregate non-federal public expenditure for that Program or project in the fiscal year that support is to be provided is not less than the previous fiscal year.

b. Non-Duplication. Grant funds may not be used to duplicate services that are available in the locality of a Program or project. The Grantee may not conduct activities that are the same or substantially equivalent to activities provided by a state or local government agency in which the Grantee entity resides.

c. Non-Displacement.

i. Prohibition on Displacing an Employee or a Position. The Grantee may not displace an employee or position, including partial displacement such as reduction in hours, wages or employment benefits, as a result of the use by such employer of a member in a Program or project.

ii. Prohibition on Selecting an Employee for Participation. The Grantee may not select a member who is employed by the Grantee or who was employed by the Grantee in the previous six months, unless the Corporation's AmeriCorps Program Office waives this requirement upon a sufficient demonstration of non-displacement.

iii. **Prohibition on Promotional Infringement.** The Grantee may not create a community service opportunity that will infringe in any manner on the promotional opportunity of an employed individual.

iv. **Prohibition on Displacing Employee Services, Duties or Activities.** A member in a Program or project may not perform any services or duties, or engage in activities that would otherwise be performed by an employee, as part of the assigned duties of such employee.

v. **Prohibition on Supplanting, Hiring or Infringing on Recall Rights.** A member in a Program or project may not perform any services or duties, or engage in activities, that:

(a) Will supplant the hiring of employed workers; or

(b) Are services, duties or activities with respect to which an individual has recall rights pursuant to a collective bargaining agreement or applicable personnel procedures.

vi. **Other Prohibitions.** A member in a Program or project may not perform services or duties that have been performed by or were assigned to any:

(a) Currently employed worker;

(b) Employee who recently resigned or was discharged;

(c) Employee who is subject to a reduction in force or who has recall rights pursuant to a collective bargaining agreement or applicable personnel procedures;

(d) Employee who is on leave (terminal, temporary, vacation, emergency or sick); or

(e) Employee who is on strike or is being locked out.

32. GRIEVANCE PROCEDURE

a. **Setting Up a Grievance Procedure.** In accordance with 42 U.S.C. 12636 and implementing regulations at 45 C.F.R. 2540.230, the Grantee must establish and implement a process for filing and adjudicating grievances from members, labor organizations and other interested parties. A grievance process may include dispute resolution programs such as mediation, facilitation, assisted negotiation and neutral evaluation. A grievance process must provide an opportunity for a grievance hearing and binding arbitration. If the grievance alleges fraud or criminal activity, it must be brought to the attention of the Inspector General of the Corporation immediately. Discrimination complaints may also be raised through the grievance procedure.

b. In the event that a Sub-Grantee of a direct Grantee of the Corporation is no longer in existence or otherwise does not provide a grievance procedure that complies with this Provision, the direct Grantee is responsible for handling any grievance in accordance with 45 C.F.R. 2540.230.

c. Alternative Dispute Resolution.

i. **Informal Resolution.** The aggrieved party may seek resolution of a grievance through alternative means of dispute resolution (ADR) such as mediation or facilitation. ADR proceedings must be initiated within 45 calendar days of the date of the alleged occurrence. At the initial session of the ADR proceedings, the party must be advised in writing of the right to file a grievance and right to arbitration. If the matter is resolved, and a written agreement is reached, the party will agree to forego filing a grievance in the matter under consideration.

ii. **Neutral Facilitation.** If ADR is instituted, the process must be aided by a neutral party who, with respect to an issue in controversy, functions specifically to aid the parties in resolving the matter through a mutually achieved and acceptable written agreement. The neutral party may not compel a resolution. Proceedings before the neutral party must be informal, and the rules of evidence will not apply. With the exception of a written and agreed-upon ADR, the proceeding must be confidential. Any decision by the neutral party is advisory and is not binding unless both parties agree. If the grievance is not resolved within 30 calendar days of initiation, the neutral party again must inform the aggrieved party of his or her right to file a formal grievance.

d. Formal grievance proceeding.

i. **Time Limits.** Except for a grievance that alleges fraud or criminal activity, a grievance must be made no later than one year after the date of the alleged occurrence. If a hearing is held on a grievance, it must be conducted no later than 30 calendar days after the filing of such grievance. A decision on any such filed grievance must be made no later than 60 days after filing.

ii. **Effect of Informal Process.** In the event an aggrieved party files a grievance after participating in an informal dispute resolution process, the neutral party may not participate in the formal grievance proceeding. In addition, no communication or proceeding of the informal dispute resolution process may be referred to or introduced into evidence at a grievance or arbitration proceeding.

e. Arbitration.

i. **Selection of Arbitrator.** If there is an adverse decision against the party who filed the grievance, or no decision has been reached after 60 calendar days after the filing of a grievance, the aggrieved party may submit the grievance to binding arbitration before a qualified arbitrator who is jointly selected and who is independent of the interested parties. If the parties cannot agree on an arbitrator, within 15 calendar days after receiving a request from one of the parties, the Corporation will appoint an arbitrator from a list of qualified arbitrators.

ii. **Time Limits.** An arbitration proceeding must be held no later than 45 days after the request for arbitration, or if the arbitrator is appointed by the Corporation, the proceeding must occur no later than 30 calendar days after the arbitrator's appointment. A decision must be made by the arbitrator no later than 30 calendar days after the date the arbitration proceeding begins.

iii. **Cost.** In accordance with 42 U.S.C. 12636(f) (4) (D), the cost of the arbitration proceeding must be divided evenly between the parties to the arbitration unless the party requesting a grievance proceeding prevails. If the grievant prevails, the Grantee must pay the total cost of the proceeding and reasonable attorney's fees of the prevailing party incurred in connection with the ADR proceeding.

iv. **Effect of Noncompliance with Arbitration.** Pursuant to 42 U.S.C. 12636(f) (7), a suit to enforce an arbitration award may be brought in any federal district court having jurisdiction over the parties without regard to the amount in controversy or citizenship.

f. **Suspension of Placement.** If a grievance is filed regarding a proposed placement of a member in a Program or project, such a placement must not be made unless the placement is consistent with the resolution of the grievance.

g. **Remedies.** Remedies for a grievance filed under a procedure established by the Grantee may include:

i. Prohibition of a placement of a member; and

ii. In grievance cases where there is a violation of non-duplication or non-displacement requirements and the employer of the displaced employee is the Grantee:

(a) Reinstatement of the employee to the position he or she held prior to the displacement;

(b) Payment of lost wages and benefits;

(c) Re-establishment of other relevant terms, conditions and privileges of employment; and

(d) Any other equitable relief that is necessary to correct any violation of the non-duplication or non-displacement requirements or to make the displaced employee whole.

33. OWNERSHIP AND SHARING OF GRANT PRODUCTS

a. **Ownership.** Unless otherwise specified, the Grantee owns and may copyright any work that is subject to copyright, including software designs, training manuals, curricula, videotapes and other products produced under the Grant. However, the Grantee may not sell any work that includes an AmeriCorps logo without prior Corporation written approval.

b. Corporation Use. The Corporation retains royalty-free, non-exclusive, and irrevocable licenses to obtain, use, reproduce, publish or disseminate products, including data, produced under the Grant and to authorize others to do so. The Corporation may distribute such products through a designated clearinghouse.

c. Sharing Grant Products. To the extent practical, the Grantee agrees to make products produced under the Grant available at the cost of reproduction to others in the field.

34. PUBLICATIONS

a. Acknowledgment of Support. Publications created by members may include an AmeriCorps logo if they are consistent with the purposes of the Grant. The Grantee is responsible for assuring that the following acknowledgment and disclaimer appears in any external report or publication of material based upon work supported by this Grant.

"This material is based upon work supported by the Corporation for National and Community Service under AmeriCorps Grant No. ____. Opinions or points of view expressed in this document are those of the authors and do not necessarily reflect the official position of, or a position that is endorsed by, the Corporation or the AmeriCorps Program."

b. Materials Provided to Corporation. The Grantee is responsible for assuring that two copies of any such material are sent to the Corporation's Office of Public Affairs and Program Office.

35. EVALUATION

a. Internal Evaluations. The Grantee must track progress toward achievement of their Program objectives. The Grantee also must monitor the quality of service activities, the satisfaction of both service recipients and members, and management effectiveness. Internal evaluation and monitoring should be a continuous process, allowing for frequent feedback and the quick correction of weaknesses.

b. Independent Evaluations. The Grantee may obtain an independent evaluation if provided for in the approved budget.

c. External Evaluation and Data Collection. The Grantee must cooperate with the Corporation and its evaluators in all monitoring and evaluation efforts. As part of this effort, the Grantee must collect and submit certain member data, including the total number of members in the Program, and the number of members by race, ethnicity, gender, age, economic background, education level, disability classification and geographic region. The Corporation will provide forms for collecting member data.

36. SUSPENSION OR TERMINATION OF GRANT

a. Suspension of the Grant. In an emergency situation the Corporation may suspend a Grant for not more than 30 calendar days. Examples of such situations may include, but are not limited to:

- **i.** Serious risk to persons or property;
- **ii.** Violations of federal, state or local criminal statutes; and
- **iii.** Material violation(s) of the Grant or contract that is sufficiently serious that they outweigh the general policy in favor of advance notice and opportunity to show cause.

b. Termination of the Grant. Pursuant to 45 C.F.R. 2540.400, the Corporation may terminate payments under the grant, revoke the designated member positions, or recover Grant funds for failure to comply with applicable provisions of this Grant. However, the Corporation will provide the Grantee reasonable notice and opportunity for a full and fair hearing, subject to the following conditions:

- **i. Notice.** The Corporation will notify the Grantee by letter or telegram that it intends to terminate payments, revoke positions or recover Grant funds, either in whole or in part, unless the Grantee shows good cause why such assistance should not be terminated, revoked or recovered. In this notice, the grounds and the effective date for the proposed termination or revocation will be described. The Grantee will be given at least 7 calendar days to submit written material in opposition to the proposed action.
- **ii. Right to a hearing.** The Grantee may request a hearing on a proposed termination, revocation or recovery. Upon 5 days notice to the Grantee, the Corporation may authorize the conduct of a hearing or other meetings at a location convenient to the Grantee to consider the proposed action. A transcript or recording must be made of a hearing.

c. The Grantee may suspend or terminate assistance to a Sub-Grantee, provided that such action affords the Sub-Grantee, at a minimum, the notice and hearing rights set forth in the Provisions applicable to the Corporation in this section (36).

37. ORDER OF PRECEDENCE

Should there be any inconsistency among the Grant Award, the AmeriCorps Special Provisions, the General Provisions, Grants Policy Guidance's, and the approved Grant Application, the order of precedence that will prevail is (1) Grant Award, (2) the AmeriCorps Special Provisions, (3) the General Provisions, and (4) the approved Grant Application.

AmeriCorps® Provisions
Indian Tribes Addendum

The AmeriCorps Provisions and this Indian Tribes Addendum are binding on the Grantee. By accepting funds under this Grant, the Grantee agrees to comply with the AmeriCorps Provisions, this Indian Tribes Addendum, and all applicable federal statutes, regulations and guidelines. The Grantee agrees to operate the funded Program in accordance with the approved Grant application and budget, supporting documents, and other representations made in support of the approved Grant application. The Grantee agrees to include in all subgrants the applicable terms and conditions contained in this award.

References are to changes in the AmeriCorps Provisions clauses:

8. TERMS OF SERVICE.

Disregard all references to part-time member. All members in Indian Residential Programs are full-time.

Disregard all references to converting members from full-time to part-time. All Indian Tribe Residential Program members must remain full-time.

12. LIVING ALLOWANCES, OTHER IN-SERVICE BENEFITS AND TAXES

For Indian Tribe Residential Programs we have not set a minimum living allowance for members serving in residential programs. You may propose whatever allowance you deem appropriate, taking into account that members' room and board will be provided. For other AmeriCorps State/National programs, where room and board typically is not provided, full-time members receive a living allowance that is typically $9,000 per year. (See 45 CFR § 2522.240.)

Room and board - The Grantee must provide food and housing for AmeriCorps members.

All other Provisions related to Living Allowances apply, Clause 12(a)-(g).

37. ORDER OF PRECEDENCE

Should there by any inconsistency among the Grant Award, the AmeriCorps Special Provisions, the General Provisions, the Tribe Provisions Addendum, and the approved Grant Application, the order of precedence that will prevail is (1) Grant Award, (2) AmeriCorps Special Provisions, (3) Indian Tribes Addendum, (4) General Provisions, and (5) approved Grant Application.

G. AmeriCorps Rulemaking - Summary of New AmeriCorps Rule

The new AmeriCorps rule has four main goals:

- Make the AmeriCorps program stronger;
- Better leverage Federal dollars;
- Increase AmeriCorps' stability and predictability; and
- Position AmeriCorps for continued growth.

The following summarizes the most significant issues in the new rule:

Sustainability and Federal Share

The new rule has the following six main elements related to sustainability:

1. Incorporates the broad spectrum of sustainability criteria throughout the Corporation's grant selection criteria.
2. Increases the weight of cost-effectiveness in the selection criteria, and makes an applicant's budgeted Corporation cost per member service year (MSY) a more meaningful factor in the selection process. In evaluating cost effectiveness, the Corporation will take into account the goals, performance outcomes, and the individual circumstances of programs and the communities in which they operate, thereby considering both costs and benefits.
3. Increases the grantee share of program costs based on a predictable and incremental schedule to a 50 percent overall level by the 10th year in which an organization receives an AmeriCorps operational grant for the same program. Programs that cannot meet these requirements and that are located in rural or severely economically distressed areas may apply for permission to meet an alternative match requirement which would increase the grantee share of program costs to a 35 percent overall level by the 10th year.
4. Requires state commissions to develop and implement a sustainability approach as part of their oversight function.
5. Targets a percentage of non-continuation AmeriCorps state and national grant funds each year for new applicants.
6. Provides technical support to assist programs in meeting the increasing match requirements.

Grant Selection Criteria

The new rule adjusts the Corporation's grant selection criteria to meet three objectives:

1. To better align the selection criteria with elements that predict program success;
2. To incorporate into the selection criteria greater emphasis on sustainability; and
3. To provide transparency, predictability, and consistency for organizations applying for AmeriCorps funds.

The new rule clearly describes the Corporation's grant review process, and sets out the following basic criteria that the Corporation would apply in reviewing an application for AmeriCorps funding:

- Program Design, which would count for 50 percent of the score (down from 60 percent currently), including:
    - The rationale for and approach of the proposed program;
    - The member-related outputs and outcomes; and
    - The community-related outputs and outcomes.
- Organizational Capability, which would remain at its current 25 percent weight, and
- Cost-Effectiveness and Budget Adequacy, which would count for 25 percent (up from 15 percent currently).

The new rule requires state commissions to rank the state competitive proposals they submit to the Corporation.

Cost per Member Service Year (MSY) (formerly Cost per FTE)

Cost per MSY for Individual Programs

- The new rule quantifies an individual program's Corporation cost per MSY as the budgeted grant costs divided by the number of member MSYs awarded in the grant (excluding child care and the AmeriCorps Education Award)
- The Corporation will consider granting program requests to increase their Corporation cost per MSY up to any percentage increase in their previous year's minimum AmeriCorps member living allowance.

Average Cost per MSY for State Commissions

- Average cost per MSY for state commissions will be the budgeted grant costs for all the AmeriCorps programs in the commission's portfolio divided by the total number of MSYs in the commission's portfolio of AmeriCorps programs, including Education Award programs (excluding child care, the AmeriCorps Education Award, and the commission administrative grants).
- The Corporation will review the maximum average cost per MSY annually with the increase in the member living allowance and other changes to program costs in mind. Corporation cost per member service year (MSY) is also included as one indicator of cost-effectiveness in the selection criteria.

Member Service Activities

The new rule largely codifies and clarifies the Corporation's current guidelines and grant provisions on member service activities and capacity-building. Specifically, the new rule clarifies that AmeriCorps members may:

- Perform direct service activities, and
- Engage in other activities that build the organizational and financial capacity of nonprofit organizations and communities, including volunteer recruitment and certain fundraising activities.

In addition:

- Generally, grantees must include volunteer recruitment in their program design unless unfeasible
- AmeriCorps members may engage in fundraising directly in support of service

activities for up to 10% of their term of service

Tutoring Requirements

The new rule:

- Confirms that the qualification requirements for tutors and other paraprofessionals under the No Child Left Behind Act apply only to tutors who are considered employees of the Local Education Agency or school under state law, but do not apply to AmeriCorps members serving as tutors under the sponsorship of an organization other than the school district.
- Narrowly defines "tutor" for purposes of the regulations to include only individuals whose primary goal is to increase academic achievement in reading or other core subjects through planned, consistent, one-to-one or small-group reading, or other small-group sessions, that build on students' academic strengths and target students' academic needs.
- Requires a member serving as a tutor (other than one considered under NCLB to be employed by the LEA or school) either:
    - To have a high school diploma (or its equivalent), or
    - To pass a proficiency test that the grantee has determined effective in ensuring that the member has the necessary skills to serve as a tutor.
- Requires a member serving as a tutor (other than one employed by the LEA or school) to successfully complete any pre- and in-service specialized training required by the program.
- Requires tutoring programs to show competency to provide tutoring service through their recruitment, specialized training, performance measures, and supervision.
- Does not impose new requirements on members engaged in supplemental academic support activities whose primary goal is something other than increasing academic achievement. For example, providing a safe place for children after school is not tutoring, even if some of the program activities focus on homework help.

State Commission Flexibility to Operate National Service Programs

The Corporation's current regulations prohibit state commissions from directly operating any national service program receiving Corporation assistance. The new rule relaxes this current restriction by prohibiting state commissions from directly operating only AmeriCorps subtitle C grant programs and Senior Corps programs.

Performance Measures and Evaluation

The new rule:

- Codifies current Corporation requirements for performance measures;
- Requires at least one set of aligned measures (one output, one intermediate outcome, and end outcome) on the program's primary area of activity;
- Requires independent evaluations to large state competitive and direct grantees; and
- Requires internal evaluations from smaller and EAP grantees.

SIDE-BY-SIDE OF SIGNIFICANT CHANGES

Member Activities (§§ 2520.5 through 2520.60)

Operational for the 2005 program year

Current	New Rule
Allows members to engage in direct service and capacity-building activities (2005 AmeriCorps Guidelines)	Same
Recruiting and managing volunteers "Successful applicants will be those that address how their AmeriCorps program will effectively engage and support volunteers in meeting community needs." Applicants to include explanation if unable to include volunteer recruitment (2005 AmeriCorps Guidelines)	Recruiting and managing volunteers Volunteer recruitment or support required unless the Corporation waives requirement Applicants to request waiver in grant application Corporation will consider waiver post-approval but pre-award
Member fundraising Members may raise funds directly in support of program service activities AmeriCorps members may not: • Raise funds for his or her living allowance. • Raise funds for an organization's operating expenses or endowment. • Write grant applications for AmeriCorps funding or for any other funding provided by the Corporation for National and Community Service, or any other federal agency. (2005 AmeriCorps provisions)	Member fundraising Same Same

Current	New Rule
Member fundraising (cont.) No specific time limitation	Member fundraising (cont.) An AmeriCorps member may spend no more than ten percent of his or her originally agreed-upon term of service performing fundraising activities (10 percent not included in education and training 20 percent cap)
Fee for Service Activities Allowed if service activities are otherwise appropriate and fees used to finance the non-Corporation share of program costs (2005 AmeriCorps provisions)	Fee for Service Activities Same
Volunteer Displacement Members may not displace unpaid volunteers (2005 AmeriCorps provisions)	Volunteer Displacement Same
Education and Training Activities No more than 20% of the aggregate of all AmeriCorps member service hours in a Program may be spent in education and training activities. (2005 AmeriCorps provisions)	Education and Training Activities Same

Tutoring (§§ 2522.900 through 2522.920)

Operational for the 2005 program year

Current	New Rule
Curriculum and tutoring strategies must be scientifically-based OR part of a program in a school under the No Child Left Behind Act (2005 AmeriCorps guidelines)	Tutoring curriculum must be high-quality and research-based, consistent with the instructional program of the local educational agency or with State academic content standards
No specific definition of tutoring programs (2005 AmeriCorps guidelines)	Requirements apply to any program whose primary goal is to increase academic achievement in reading or other core subjects through planned, consistent, one-to-one or small-group sessions and activities that build on the academic strengths of students in kindergarten through 12th grade, and target their academic needs
Programs should identify standards to qualify individuals as tutors (2005 AmeriCorps guidelines)	Programs must articulate appropriate criteria for selecting and qualifying tutors, including the requirement that tutors either have a high school-diploma or its equivalent, or pass a proficiency test Tutors that are part of a cross-grade in-school tutoring program are exempt from the high-school diploma/proficiency test requirement
Pre- and in-service tutor training required to provide tutors with knowledge and skills to support students' learning (2005 AmeriCorps guidelines)	Pre- and in-service tutor training required to be high quality and research-based consistent with the instructional program of the local educational agency or with State academic content standards
All programs must provide members with adequate supervision by qualified supervisors (2005 AmeriCorps provisions)	In addition to general requirement, tutoring programs must specifically include appropriate member supervision by individuals with expertise in tutoring
Applicant must identify student achievement goals and address how they will measure outcomes (2005 AmeriCorps guidelines)	Program must identify strategies or tools it will use to assess student progress and measure student outcomes

Match Requirements (§§2521.35 through 2521.90)

Operational for the 2005 program year

Current	New Rule
Grantees must match a minimum of: ▪ 15% of member support (non-Federal cash) ▪ 33% of operational costs (cash or in-kind) (2005 AmeriCorps provisions; 45 CFR §2521.30(g))	Same
No overall match requirement or increases	Grantees must also increase match incrementally to a 50% overall match by the tenth year they receive a grant (increases begin in year 4)
No alternative match requirement	Grantees with Corporation approval to meet the alternative match requirement must increase their match incrementally to a 35% overall match by the tenth year they receive a grant (increases begin in year 7)
A grantee may request a waiver of match by demonstrating that a waiver would be equitable due to lack of resources at the local level	Same
No additional waiver for programs in rural or severely economically distressed areas	Alternative match requirement has been created. Grantees that cannot meet the regulatory match requirements and that are located in either a rural or a severely economically distressed area may apply for permission to match at the lower alternative match schedule prior to submitting grant application
No equivalent provision	A grantee that has not received an AmeriCorps operational grant for five years or more may begin matching at the year 1 match level upon receiving a new grant award
Grantees encouraged to obtain support over and above match requirements (2005 AmeriCorps provisions)	Same

Current	New Rule
Commissions are held to aggregate overall matches for member support and operational costs	Same, except Corporation expects individual subgrantees to meet their required match over the three year period of their grant or pay back funds
No equivalent provision	Corporation will consider whether subgrantees and direct grantees have met their budgeted match (different than required match) in subsequent grant competitions

State Commissions Directly Operating Programs (§ 2550.80(j))

Operational for the 2005 program year

Current	New Rule
State Commissions may not directly carry out any national service program (45 CFR 2550.80(j))	State Commissions may directly carry out any national service program except for AmeriCorps grants programs, and Senior Corps programs.

Performance Measures (§§ 2522.500 through 2522.650)

Operational for the 2006 program year

Current	New Rule
Applicants must report on at least one output, one intermediate-outcome, and one end-outcome (no alignment required) (2005 AmeriCorps guidelines)	Applicants must report on at least one set of aligned measures (one output, one intermediate-outcome, and one end-outcome) that relate to the program's primary activity, or area of significant activity for programs whose design precludes identifying a primary activity
At least one of the measures should relate to managing and recruiting volunteers (2005 AmeriCorps guidelines)	No equivalent requirement, although Corporation may develop national performance measure on recruiting and managing volunteers
Programs develop performance measures and Corporation approves them through negotiation process (2005 AmeriCorps guidelines)	Same
Grantees must account for shortfalls in measured performance with an explanation of why they occurred and a plan for responding to shortfall (2005 AmeriCorps grant provisions)	Grantees at risk of not meeting performance measures must submit a corrective action plan, or request to amend its performance measures, within 30 days of determining that it is unable to meet its performance measures
No specific provision	Corporation may take appropriate action, including suspending or terminating the grant, if a grantee fails to meet performance measures after period of correction

Evaluation (§§ 2522.700 through 2522.740)

Operational for the 2006 program year

Current	New Rule
Grantees are encouraged to obtain an independent evaluation and must do so if provided for in the approved budget (2005 AmeriCorps grant provisions)	Grantees with an average annual grant of $500,000 or more over five years are required to arrange for an independent evaluation Smaller grantees and EAP grantees are required to perform an internal evaluation
Summary information concerning all evaluations of program outcomes completed in the last four years should be included in the application if available, and the complete evaluation be made available to the Corporation either electronically or in printed version (2005 AmeriCorps guidelines)	Applicants must provide summary of evaluation plan or efforts with first recompete application and the completed evaluation with second recompete application following the rule's effective date
No specific provision	Corporation reserves the right not to review recompete application if required evaluation not included
No specific time frame required	Evaluations must cover a period of at least 1 year
No equivalent provision	Requirements may be superseded by alternative Corporation evaluation strategy

Selection Criteria and Grant Review Process (§§ 2522.400 through 2522.475)

Operational for the 2006 program year

Current	New Rule
Program Design – 60% Needs and Service Activities (20%) Member Development (20%) Strengthening Communities (20%) Organizational Capacity – 25% Budget/Cost Effectiveness – 15% (2005 AmeriCorps guidelines)	Program Design – 50% Rationale and Approach (10%) Member Outputs and Outcomes (20%) Community Outputs and Outcomes {20%} Organizational Capability – 25% Cost Effectiveness and Budget Adequacy – 25% Cost Effectiveness (15%) Budget Adequacy (10%)
Sustainability only considered in the context of the strengthening communities sub-category of Program Design (2005 AmeriCorps guidelines)	Focus throughout criteria on program and organizational sustainability
No specific focus on outputs and outcomes	Focus in Program Design on outputs and outcomes
No mention of cost per MSY in cost-effectiveness criteria	Cost per MSY an indicator of cost-effectiveness
Corporation will consider a set of priorities listed in the guidelines in making final selections (2005 AmeriCorps guidelines) Same generally	Corporation will seek to ensure that its portfolio of approved programs includes a meaningful representation of proposals that address one or more priorities listed in the regulation (and NOFA) The Corporation will seek to ensure that our portfolio of AmeriCorps programs is programmatically, demographically, and geographically diverse and includes innovative programs, and projects in rural, high poverty, and economically distressed areas
No ranking required	State commissions must rank competitive proposals based on their relative quality

Current	New Rule
No equivalent provision	Corporation may consider specific outside information, including websites, information in the Corporation's system of records, and publicly-available information, to clarify or verify information in a proposal
No current target for new programs	Corporation will target a percentage of non-continuation funds each year for new programs
No current State reporting requirement on sustainability	State Commissions will include State sustainability plans in their three year State administrative funds application

Federal Register

Friday,
July 8, 2005

Part II

Corporation for National and Community Service

45 CFR Parts 2510, 2520, 2521, etc.
AmeriCorps National Service Program; Final Rule

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

45 CFR Parts 2510, 2520, 2521, 2522, 2540 and 2550

RIN 3045–AA41

AmeriCorps National Service Program

ACTION: Final rule.

SUMMARY: The Corporation for National and Community Service (hereinafter the ''Corporation'') is amending several provisions relating to the AmeriCorps national service program, and adding rules to clarify the Corporation's requirements for program sustainability, performance measures and evaluation, capacity-building activities by AmeriCorps members, qualifications for tutors, and other requirements.

DATES: This final rule is effective September 6, 2005, with specific sections becoming applicable according to the implementation schedule in part VII of the **SUPPLEMENTARY INFORMATION** section.

FOR FURTHER INFORMATION CONTACT: Amy Borgstrom, Associate Director for Policy, Department of AmeriCorps, Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525, (202) 606–5000, ext. 132. T.D.D. (202) 606–3472. Persons with visual impairments may request this rule in an alternative format.

SUPPLEMENTARY INFORMATION:

List of Topics

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I. Background

Under the National and Community Service Act of 1990, as amended (hereinafter ''NCSA, or the Act,'' 42 U.S.C. 12501 *et seq.*), the Corporation makes grants to support community service through the AmeriCorps program. In addition, the Corporation, through the National Service Trust, provides education awards to, and certain interest payments on behalf of, AmeriCorps participants who successfully complete a term of service in an approved national service position.

On February 27, 2004, President Bush issued Executive Order (E.O.) 13331 aimed at making national and community service programs better able to engage Americans in volunteering, more responsive to State and local needs, more accountable and effective, and more accessible to community organizations, including faith-based organizations. The E.O. directed the Corporation to review and modify its policies as necessary to accomplish these goals.

In the Consolidated Appropriations Act for 2004, Congress directed the Corporation to reduce the Federal cost per participant in the AmeriCorps program and to increase the level of matching funds and in-kind contributions provided by the private sector. The Conference Report accompanying the 2004 Consolidated Appropriations Act directed the Corporation to engage in notice and comment rulemaking around the issue of ''sustainability.''

On September 23, 2003, the Corporation's Board of Directors (the Board) had directed the Corporation to ''undertake rulemaking to establish regulations on significant issues, such as sustainability and the limitation on the Federal share of program costs, consistent with any applicable directives from Congress.'' On August 12, 2004, the Corporation published a Notice of Proposed Rulemaking (NPRM) in the **Federal Register** for public comment (69 FR 50124).

This rulemaking process is one of two the Corporation initiated in 2004, and addresses several significant and time-sensitive issues. The Corporation intends to implement these changes over the next year, with some taking effect in the AmeriCorps 2005 program year, and the remainder in the 2006 program year (See section VII. Effective Dates). The second process stemmed from a recommendation by the Board's Taskforce on Grant-making and is largely an effort to streamline and improve our current grant-making processes. That effort is already underway, and we plan to issue a Notice of Proposed Rulemaking for that purpose later this year. The two rulemakings address distinct and separate issues.

II. Preliminary Public Input and Public Comments

A. Preliminary Public Input

On March 4, 2004, the Corporation published a notice in the **Federal Register** inviting informal preliminary public input in advance of rulemaking (69 FR 10188). The notice outlined the general topics the Corporation was interested in addressing through rulemaking and posed questions for the public to consider in providing input. Following the notice, the Corporation held four conference calls and five public meetings across the country in Columbus, Ohio; Seattle, Washington; Boston, Massachusetts; Washington, DC; and Arlington, Texas, to frame the issues and collect public input. Through the hearings, conference calls, and e-mail and paper submissions, the Corporation received comments from nearly 600 individuals and organizations, and used this input to inform the drafting of the proposed rule.

B. 60-Day Comment Period

In the **Federal Register** of August 12, 2004 (69 FR 50122), the Corporation published the proposed rule with a 60-day comment period. In addition to accepting comments in writing, the Corporation held three conference calls and five public meetings across the country in Philadelphia, Pennsylvania; Atlanta, Georgia; Portland, Oregon; Denver, Colorado; and Chicago, Illinois. During the public comment period, the Corporation received 217 written comments and 78 oral comments from grantees, foundations, State governments, non-profits, Members of Congress, and other interested individuals and organizations.

The comments express a wide variety of views on the merits of particular sections of the proposed regulations, as well as some broader policy statements and issues. Acknowledging that there are strong views on, and competing legitimate public policy interests relating to, the issues in this rulemaking, the Corporation has carefully considered all of the comments on the proposed regulations.

The Corporation has summarized below the major comments received on the proposed regulatory changes, and has described the changes we made in the final regulatory text in response to the comments received. In addition to the more substantive comments discussed below, the Corporation received some editorial suggestions, some of which we have adopted and some of which we have not. The Corporation has made a number of other minor editorial changes to better organize or structure the regulatory text. Finally, the Corporation received a number of comments on issues outside the scope of the proposed rule, which the Corporation does not address in the discussion that follows.

III. Terminology Change: FTE to MSY

In the proposed rule, the Corporation defined cost per full-time equivalent (FTE), and referred to cost per FTE throughout the regulation. Until now, the Corporation has used the term FTE to describe the number of service years performed by a full-time AmeriCorps member (each service year being equal to 1,700 hours of service). Because the term FTE is most often associated with budgeting for employee payroll, we are replacing ''FTE'' with ''Member Service Year'' (MSY). We think this term more accurately describes units of AmeriCorps service, and we want to avoid any misimpression that AmeriCorps members are Federal employees. Consequently, the Corporation has amended the final rule to refer to cost per MSY, and uses MSY and cost per MSY throughout this final rule in lieu of FTE and cost per FTE, respectively.

IV. Highlights of Final Rule

This final rule includes a targeted series of reforms designed to strengthen the impact, efficiency, and reach of AmeriCorps, our AmeriCorps grantees, and the Corporation. Our primary objectives are to:

- Create a framework for long-term growth and sustainability of the AmeriCorps program as a public-private partnership;
- Provide consistency, reliability, and predictability for AmeriCorps grantees;
- Enhance the measurable positive impact of the AmeriCorps program on:
  - —Communities and beneficiaries that receive service;
  - —Non-profit organizations and community infrastructures that host service; and
  - —AmeriCorps members who serve;
- Resolve longstanding issues relating to Federal share, Corporation cost per member service year (MSY), and sustainability of AmeriCorps projects to minimize uncertainty about annual grantee funding levels and restrictions;
- Assure fiscal and programmatic accountability and effective performance measurement for the Corporation, AmeriCorps, and grantees; and
- Generate additional and wider varieties of grant applicant organizations. In addition, wherever possible, this rule reflects the Corporation's determination to:
- Eliminate unnecessary paperwork burdens on Corporation grantees;
- Strengthen AmeriCorps' ability to respond to State and local needs;
- Engage more community volunteers;
- Include community organizations, including faith-based organizations, in all Corporation programs; and
- Invigorate the competitive grant-making process.

Existing and potential AmeriCorps grantees are a strong and diverse group of talented and innovative forces for change, with different needs, circumstances, and abilities. Therefore, the Corporation has endeavored, throughout these regulations, to:

- Use competitive criteria to foster and encourage, rather than require, desired actions or activities; and
- Tailor implementation of the regulatory requirements based on the unique goals and circumstances of grantees, including limited waivers if appropriate.

The Corporation has focused reforms in the final rule on four main areas: Sustainability of AmeriCorps programs, including decreasing grantee reliance on Federal resources and decreasing Corporation costs per MSY; Grant selection criteria; Performance measures and evaluation; and Tutor qualifications and other requirements for tutoring programs. The proposed rule also included a discussion in some detail of several non-regulatory issues including the Corporation's goal of streamlining continuation applications and adjusting grant cycles. As discussed in the proposed rule, the Corporation is undertaking both those reforms outside of these regulations.

The Corporation is publishing these regulations pursuant to the Chief Executive Officer's statutory authority to ''prescribe such rules and regulations as are necessary or appropriate to carry out the national service laws.'' 42 U.S.C. 12651c(c). The Corporation intends to monitor the impact of this final rule on grantees.

The next section of this preamble, section V, addresses sustainability, and specific issues concerning intermediaries, Education Award Program grantees, and professional corps programs. Section VI includes a section-by-section summary and analysis of the major comments we received and the Corporation's response. Section VII of this preamble addresses implementation of the final rule. Section VIII addresses several non-regulatory policy issues the Corporation considered in light of the public input and comments we received.

V. Broad Policy Issues

A. Sustainability

Many of the comments the Corporation received addressed the issue of sustainability. Many suggested that the Corporation had too narrowly defined sustainability in the proposed rule as only including financial or monetary measures, and had given insufficient consideration to other measures of sustainability, such as community support and partnerships, and program quality. Those commenting on the definition generally suggested various revisions on the same theme of defining sustainability broadly and beyond just financial commitments. Two commenters suggested that sustainability be measured by criteria that capture capacity in terms of program quality and cost structure, fiscal and community support, partnerships, and leveraged resources, including volunteer hours and in-kind goods and services. The Corporation agrees that sustainability includes many elements beyond cost, and has modified the rule language in several places to bring greater emphasis on multiple and diverse measures of sustainability.

The Corporation did not intend for the proposed rule to define sustainability solely in terms of money, nor did we intend for sustainability itself to be viewed as the only factor in the grant selection process. The Corporation's intent was to broadly define sustainability and to specify measures of sustainability in the grant selection criteria and program requirements. At the same time, the Corporation does believe that decreasing the federal share of costs for AmeriCorps programs is essential to sustainability, and we have, thus, retained increased matching requirements as a key part of our effort to boost program sustainability.

As stated in the proposed rule, the Corporation's annual appropriation and its authorizing legislation, as well as E.O. 13331, support this approach to sustainability. In our annual appropriations act each year dating back

to fiscal year 1996, and most recently in the Consolidated Appropriation Act for fiscal year 2005, Congress directed the Corporation to ''increase significantly the level of matching funds and in-kind contribution provided by the private sector,'' and ''reduce the total Federal costs per participant in all programs.'' Section 133(c)(3) of the Act requires the Corporation to include in its selection criteria the sustainability of the national service program, based on evidence such as the existence of strong and broad-based community support for the program, and of multiple funding sources or private funding for the program. Section 130(b)(3) of the Act authorizes the Corporation to ask an organization ''re-competing'' for funding after a three-year initial grant period to include a ''description of the success of the programs in reducing their reliance on Federal funds.'' In addition, E.O. 13331 directs that ''national and community service programs should leverage Federal resources to maximize support from the private sector and from State and local governments.''

While the Corporation is committed to meeting these goals, in our view, they do not require imposing across-the-board limitations on the number of years an organization may receive funds, particularly given the many organizations providing valuable infrastructure and experience that enable national and community service to continue to thrive across the country. At the national level, the Corporation continues to believe it unnecessary to disqualify an organization from receiving Federal funding based on the number of years that organization has received funding. To do so would ultimately result in a loss of some of the strongest organizations with the capacity, infrastructure, and experience to provide high-quality service and deliver results that strengthen and expand national and community service. We do believe, however, that the majority, if not all, of the organizations that receive Corporation funds can and should increase their share of program costs as their programs mature.

Through increased sustainability, the Corporation seeks to expand the national service field and provide new organizations the opportunity to participate in national and community service programs. The Corporation also seeks to strengthen the capacity of existing national and community service programs by promoting an expansion and diversification of their non-Corporation funding sources, and strengthening the competitive framework. At the same time, the Corporation wants to treat grantees fairly and equitably and avoid impairing their independence, operating flexibility, and autonomy.

As described in more detail below, the Corporation's strategy to increase organizational sustainability and expand national and community service has six main elements:

1. Incorporates the broad spectrum of sustainability elements throughout the Corporation's grant selection criteria and program requirements.
2. Increases the emphasis in the selection process on program cost-effectiveness, including using Corporation cost per MSY as one of several measures of cost-effectiveness.
3. Increases, based on a predictable schedule and incremental scale, the grantee share of program costs to a 50 percent overall level by the 10th year in which an organization receives AmeriCorps funding for the same program. Programs in severely economically distressed or rural areas are eligible to apply for permission to meet an alternative match schedule, which would increase their grantee share to a 35 percent overall level by the 10th year in which an organization receives AmeriCorps funding for the same program.
4. Requires State commissions to develop and implement a sustainability approach as part of their oversight function.
5. Targets a percentage of non-continuation AmeriCorps State and national grant funds each year for new applicants.
6. Provides technical support and limited exceptions to organizations that demonstrate hardship in meeting the increasing match requirements.

With the exception of the fourth and fifth elements, which are not included in the regulatory language and which we address immediately hereafter, the individual section discussions that follow in part VI address each of the other elements of sustainability in more detail.

State Commission Sustainability Approaches (§ 2550.80(a)(3) in Proposed Rule)

Part of the Corporation's sustainability strategy is to build upon what some States are already accomplishing in the sustainability arena. The Corporation understands that roughly 25 percent of the State commissions already have written sustainability policies or approaches through which they promote sustainability and encourage new programs in their States. Some States, for example, gradually and predictably reduce their subgrantees' Corporation cost per MSY over 12 years, to allow the commission to invest resources in new programs and encourage on-going programs to develop efficiencies and enhance community support. One State commission requires, among other things, that its subgrantees develop their own sustainability plans and increase the subgrantee share of program operating costs over a seven-year period to 75 percent. Some States, in addition to requiring a small increase in program share of member support costs over a three-year period, actively solicit private donations to use, in part, to help local AmeriCorps programs develop relationships with corporate donors and increase private support. The Corporation praises these efforts and encourages State commissions to consider these and other approaches to promote program sustainability in their States.

In an effort to promote these State sustainability efforts, the proposed rule required each State to describe its sustainability approach in its State-wide service plan.

Several commenters expressed confusion regarding the proposed requirement. One viewed this provision as requiring States to duplicate the new Federal sustainability and matching regulatory requirements. One State commission indicated that it may develop additional sustainability requirements for programs in its State, but did not wish to report those requirements to the Corporation. Another commission supported the development of local sustainability plans for States, but sought clarifying language that would leave room for States to determine sustainability for themselves.

The Corporation supports the efforts that States are making towards sustainability in their respective States. Furthermore, the Corporation notes that State commissions may generally choose to impose more stringent requirements on State subgrantees than the Corporation's requirements. The Corporation's intent in proposing the reporting requirement was to ensure that each State engage in meaningful discussions about how it should manage its portfolio to maximize long-term impact of programs in the State. The Corporation expects State commissions to consider, in developing their sustainability plans, whether they should add any sustainability requirements to the Corporation's minimum requirements, as well as what strategies the State may use to develop capacity and sustainability of projects and service in the State.

The Corporation has now concluded that the State-wide service plan (formerly ''unified State plan'') is not necessarily the best mechanism for obtaining this information. Rather, the Corporation believes that the most efficient way for commissions to report on their sustainability plans is through their administrative funds application. The Corporation plans to add one or more questions to the administrative application through which States will report their sustainability plan efforts. The Corporation is, therefore, removing from the final rule the requirement that State commissions submit a sustainability plan to the Corporation. Paragraph (a)(3) of section 2550.80 in the proposed rule has been deleted.

Funds Targeted for New Programs

The Corporation anticipates annually targeting a percentage of AmeriCorps funds for grants to new applicants. To give us the ability to manage our nationwide portfolio and ensure the appropriate mix of programs, the Corporation will determine the category of applicants eligible to receive the targeted funds annually and announce it in the relevant funding announcement.

The target amount will vary, rather than be a fixed amount that the Corporation must use for new programs each year. In some years, the Corporation may receive enough high-quality new program applications to meet or even exceed the target, and in other years, if the new program applications are not of sufficient quality to merit funding, the number of new programs funded may be lower than the amount targeted for that purpose. The Corporation will, to the maximum extent possible, announce the amount targeted for new programs prior to the submission deadline.

One commenter agreed with the Corporation's efforts to support new programs, but expressed concern that this support should not lead to replacing high-quality existing programs with new programs. This commenter supported the Corporation setting aside funding for new programs only under limited circumstances, including: (1) A year when ''new'' funding represents the majority of the funding available for new and recompeting programs; or (2) a year when there is a substantial amount of new funding made available through an increase in appropriations for AmeriCorps grants of 10 percent or more. In addition, the commenter supported grants awarded out of set-aside funds based on the results of a ''truly competitive'' process.

The Corporation disagrees with this commenter's suggestions. The Corporation will determine the target percentage annually based on the availability of appropriations and the projected number of recompeting applications, and publish this information, including posting it on the Web site at *www.nationalservice.gov,* in advance of the selection process. The Corporation will not, however, tie itself now to the specific parameters the commenter suggests. The Corporation will ensure that the process for selecting new programs is competitive and results in the selection of high-quality proposals, as for all its AmeriCorps grant competitions.

Several commenters did not support targeting funds for new programs. Other commenters noted that competition is the best way to increase the number and diversity of organizations funded over time. The Corporation views targeting funds for new programs as an important incentive for new organizations to consider applying for AmeriCorps funds, when they otherwise might not. The Corporation acknowledges that its legislative requirements can appear daunting to organizations unfamiliar with AmeriCorps or new to national and community service, particularly when competing with existing organizations that have had the opportunity to learn from experience. The Corporation therefore hopes that, by targeting funds for new programs, more new organizations will apply, thereby increasing the likelihood that more new programs will receive funding. The Corporation will award all of its AmeriCorps funds, including those targeted for new programs, through rigorous competition, to ensure that we fund the best possible programs that will demonstrate strong results and help address our communities' unmet needs.

One commenter asked whether the Corporation would announce the amount we would target for new programs before the selection of grantees or prior to the submission deadline. While the Corporation will generally announce the amount of funds we will target for new programs before the submission deadline, in some years, we may not receive our appropriation until close to the application deadline or after applications are due. In that case, the Corporation would announce the amount targeted for new programs as soon as possible after receiving our annual appropriation.

Several commenters asked that the Corporation specify the annual percentage, or at the very least the maximum annual percentage we will target for new programs. The Corporation cannot specify in this rule how much—if any—we will target for new programs each year because the target amount will depend each year on the level of our annual appropriation, as well as the number of continuation programs and the level of their respective grant requests.

One commenter asked whether States would be required to set-aside a percentage of their formula funds for new programs. The Corporation will not require States to set aside or target formula funds for new programs, although a State may choose to do so.

Another commenter suggested the Corporation hold a competition to determine the best quality programs before targeting money for new programs. The Corporation intends only to fund high-quality programs and does not believe it necessary to determine the quality of applications through a separate process. As discussed above, the amount the Corporation annually targets for new programs will not be a fixed amount. If the Corporation has any remaining funds from the amount allocated for new high-quality programs that year, the Corporation will make these funds available to recompeting and continuation grantees.

Other Sustainability Issues

Several commenters expressed concern that the Corporation's proposed sustainability strategy may in fact jeopardize programs in low-income and economically-distressed regions of the country. As discussed more fully in the section dealing with increased grantee share, the final rule accommodates programs located in rural or severely economically-distressed areas of the country that are unable to meet the higher match requirements by allowing them to request a waiver that would qualify them for an alternative lower match requirement. The rule also includes programs in rural and severely economically-distressed areas in the list of programs eligible for special consideration in the competitive selection process.

One commenter expressed concern that fundraising costs are currently not included in the budgets submitted to the Corporation, obscuring the true cost of doing business as an AmeriCorps program. This commenter suggested that, given the increased emphasis on program fundraising and increased match, the Corporation request an exception from the Office of Management and Budget to allow development costs to count as match or be reimbursed. It is government-wide Federal policy that fundraising costs are not reimbursable, and the Corporation can find no basis upon which it may deviate from that policy. Many other

Federal grant programs require a 50 percent match without corresponding OMB waivers relating to development costs.

Another commenter suggested that the Corporation apply different, presumably less rigorous, sustainability requirements and measures to ''stand alone'' AmeriCorps programs—that is, organizations whose sole purpose is to carry out AmeriCorps. Again, the Corporation does not find sufficient merit to the suggestion to make a change in the final rule. Sustainability is one of the core principles of this rule. While the final rule carves out some limited exceptions to the sustainability requirements, the characteristics of a ''stand-alone'' AmeriCorps program are not sufficiently different from other AmeriCorps programs to warrant different treatment. Moreover, the Corporation wants to avoid creating a disincentive for an organization to diversify its activities.

In several places in this final rule, the Corporation makes a distinction between compliance with a requirement and performance under the competitive selection criteria. For example, the final rule requires programs to recruit or support volunteers, unless the Corporation waives the requirement. At the same time, the selection criteria for AmeriCorps grants include volunteer recruitment and support as a competitive criterion. A proposal that does not include volunteer recruitment or support will potentially score lower in that category, regardless of whether, ultimately, the Corporation waives the volunteer recruitment or support requirement when making an award. Similarly, in the area of match, the Corporation is establishing minimum requirements for grantees that the Corporation will enforce, generally upon closing out a grant. If a grantee has not met its minimum required match, the grantee will have to repay funds to the Corporation. The selection criteria, on the other hand, look at match also from a performance perspective: An organization's failure to meet its budgeted match may negatively impact its success in the competitive process, but will not translate into a requirement that the organization repay funds. When considering the final rule, one should bear in mind this distinction between compliance and performance.

The Corporation believes that its approach represents a fair, equitable, and authoritative resolution of the issue of programmatic, organizational, and financial sustainability. The rules are authorized by, and consistent with, our enabling legislation, and support our goals of supporting and strengthening high-quality programs while leveraging Federal resources to achieve the greatest benefit possible for our nation's communities. Predictability and consistency are crucial elements of this rulemaking. Thus, we seek to provide clear guidance to our grantees on our long-term expectations for sustainability, which we believe conclusively resolves the issue.

B. Intermediaries

The Corporation received significant public comment regarding intermediaries and, in particular, the potential effect on those entities of efforts to promote sustainability. There is, and should continue to be, a prominent place for intermediaries in the national and community service portfolio, particularly given their important role in reaching smaller community organizations, including faith-based organizations. The Corporation recognizes that many intermediary models include a regular infusion of new sites, which, as with any new program, may have higher costs initially. In designing the selection criteria, the Corporation has explicitly recognized the potentially higher cost of some intermediary models.

One commenter suggested that the Corporation define ''intermediary'' as a program that ''places members in community-based and faith-based organizations in specific communities.'' This commenter indicated that these intermediary model programs are more expensive because they take on new partnerships each year and must manage multiple partnerships. The higher relative cost of these intermediary models should, according to this commenter, be recognized in the selection criteria for cost-effectiveness. As discussed in the selection criteria below, the cost-effectiveness criteria specifically take into account, among other things, the higher relative costs of programs that either bring on new sites or engage or serve difficult-to-reach populations. As far as defining ''intermediary,'' the suggested definition is, based on the Corporation's experience, too imprecise. The Corporation has spent considerable effort examining intermediaries and has determined that its portfolio of grantees includes many different models of intermediary, such that including a cost-effectiveness criterion for a multi-faceted category of organizations would not be appropriate or workable.

The Corporation has set matching requirements generally at the grantee or parent organization level, rather than at the member placement or service site level, and we have not adjusted the matching requirements based on the proportion of new sites in any given year. We believe that establishing the matching requirements at the parent organization level gives greater flexibility to intermediaries to manage and achieve a healthy mix of new and established sites. As discussed more fully below in section VI(C), the Corporation is sensitive to the fact that the increased match requirements may create obstacles for some intermediary organizations. In particular, the Corporation is concerned about intermediary organizations that place members in small and new grass-roots organizations in needy communities, and rely on those communities to contribute matching resources to the intermediary in order to participate.

C. Education Award Programs (EAP)

The Education Award Program (EAP) allocates education awards to national, State and local community service programs that can support most or all of the costs associated with managing the service of AmeriCorps members from sources other than the Corporation. Several commenters recommended that the final rule clarify the extent to which its provisions apply to Education Award Programs (EAP). One commenter recommended that EAP grantees be exempted from all ''irrelevant sections,'' including those referring to match generation, volunteer generation, evaluation, and health care.

The final rule explicitly excludes Education Award Program grantees from its provisions where necessary, and as described herein.

EAP—Sustainability and Cost Effectiveness

Several commenters opined that the discussion of sustainability and its related implementation simply should not apply to EAP grantees. These commenters believe that EAP programs are the epitome of sustainability, because they already manage programs with minimal financial assistance from the Federal Government, other than the education award that members receive for completing a term of service. In particular, these commenters opposed using cost per MSY as a selection criterion for Education Award Program grantees, as these grantees receive fixed amount grants of $400 per MSY currently. Two commenters indicated that EAP programs invest significant amounts of non-Corporation resources in their programs, and they are concerned that the Corporation has not recognized or rewarded that investment in considering program sustainability.

In the final rule's selection criteria, the Corporation has retained Corporation cost per MSY as an important factor to consider in determining a program's cost-effectiveness for programs other than Education Award Program grantees. For Education Award Program grantees, the Corporation has included explicit language to make clear that Corporation cost per MSY is not a factor in considering their cost-effectiveness. However, other measures of cost-effectiveness will apply to Education Award Program grants.

The Corporation agrees that the EAP program is a clear example of a sustainable program from a financial perspective. The Corporation is aware of the significant financial contribution and investment that EAPs make in their programs and the relatively small amount of money they receive from the Corporation. The question, in evaluating EAP programs in the selection process, is the extent to which they can demonstrate sustainability in other ways. For example, an EAP program will fare better in the competitive process if it can show that its program is having a sustainable impact in the community, or its members are continuing to show, post-service, an ethic of service.

One commenter asked whether the current $400 cost per MSY for EAP programs would be increased. Another commenter indicated that the Corporation's reporting requirements have become increasingly burdensome, while the cost per MSY for Education Award Programs has steadily declined. Whether or not to increase the $400 cost per MSY is outside the scope of this regulation. The Corporation, as indicated below, is committed to streamlining its reporting requirements while ensuring accountability and sustainability, and will continue to work towards that goal for all its grantees.

EAP—Member Service Activities

Sections 2520.20 through 2520.55 of the final rule address allowable member service activities, and include a requirement that some component of each AmeriCorps program must involve recruiting or supporting volunteers. As discussed in part VI, encouraging more Americans to engage in service and volunteer activities is one of the pillars of our sustainability goals. Like any other AmeriCorps applicant, any EAP grantee that believes recruiting or supporting volunteers would fundamentally alter its program model may apply for a waiver of this requirement.

EAP—Non-Displacement of Volunteers

The proposed rule stated that the service of an AmeriCorps member must complement, and may not displace, the service of other volunteers in the community, including partial displacement such as reducing a volunteer's hours. As discussed below in the section addressing the non-displacement of volunteers provision (§ 2540.100), the Corporation has amended that section to remove these particular references to volunteer hours, in favor of a broader focus on addressing unmet needs. The Corporation will enforce this rule for all AmeriCorps programs, including EAP programs.

EAP—Performance Measures

The Corporation expects all its grantees, including EAP grantees, to adhere to performance reporting requirements. Performance measures are critical to demonstrating that national and community service programs are having their intended impact in our communities.

EAP—Evaluation

The proposed rule clearly indicated that EAP grantees would not be required to perform an independent evaluation of their programs. The final rule, while not requiring an independent evaluation, will require EAP grantees to perform an internal program evaluation, and submit that evaluation with the appropriate recompete application. This provision is consistent with the requirements in the NCSA.

D. Professional Corps

Professional Corps programs place members as teachers, nurses and other health care providers, police officers, early childhood development staff, engineers, or other professionals providing service to meet unmet needs in communities with an inadequate number of such professionals. Professional Corps programs pay 100 percent of the member support costs, but receive operating funds and an allocation of education awards for their members. Several commenters reiterated their desire that the Corporation establish separate application guidelines for professional corps programs to reflect the fact that they are responsible for 100 percent of the benefits paid to AmeriCorps members, and that their program model may be inconsistent with some of the general program requirements, such as volunteer recruitment and required training. The Corporation believes, however, that most program requirements can and should apply to all AmeriCorps programs, including Professional Corps programs, and therefore does not necessarily see a need for separate guidelines. If a program demonstrates, in its funding application, that its program design is incompatible with the requirement to recruit or support volunteers, the Corporation will consider waiving the requirement that programs recruit or support volunteers.

In addition, the Corporation has already taken the extra step of soliciting proposals for Professional Corps programs in a separate NOFA, and envisions doing so again in the future. The Corporation believes, however, that professional corps programs, particularly those for which the cost is largely borne by sponsoring organizations, will continue to compete well in all our AmeriCorps grant competitions. By grouping similar program models together in our selection process, the Corporation will ensure, to the maximum extent possible, that professional corps programs are evaluated together. The Corporation believes that all of these steps obviate the need for a separate set of application guidelines for professional corps programs.

Several commenters asked whether the Corporation intends for all teaching fellows programs to apply under a professional corps NOFA, rather than as Education Awards programs. Professional corps may apply under other applicable NOFAs, such as AmeriCorps State, National, or EAP, in addition to any applicable Professional Corps only NOFA.

VI. Specifics of the Final Rule and Analysis of Comments

As discussed in more detail below, the final rule:

- Defines the term ''target community'' as the geographic community in which an AmeriCorps grant applicant intends to address an identified unmet need.
- Defines the term ''recognized equivalent of a high-school diploma'' as including documents recognized for this purpose by the U.S. Department of Education.
- Clarifies the types of service activities in which AmeriCorps members may engage and explains the parameters for grantees and members to engage in capacity-building service activities, including volunteer recruitment and support.
- Increases, in an incremental and predictable fashion, the grantee's required share of program costs to a 50 percent overall match plateau over 10 years; provides alternative matching requirements for programs located in rural and severely economically

distressed communities, increasing the grantee's required share of program costs to a 35 percent overall match plateau over 10 years.

- Codifies that the amount of childcare payments the Corporation makes to an eligible provider on behalf of an AmeriCorps member may not exceed the amount authorized under the Child Care and Development Block Grant Act of 1990 (Pub. L. 101–508).
- Codifies the grant selection process and criteria.
- Clarifies how grantees are to calculate their budgeted Corporation cost per member service year (MSY).
- Codifies the Corporation's requirements for grantees to establish performance measures and to evaluate program outcomes, and establishes a grant amount threshold for required independent evaluations.
- Establishes qualifications for members serving as tutors and requirements for tutoring programs.
- Prohibits displacement of volunteers.
- Removes obsolete references to ''transitional entities'' serving as State commissions on national and community service.
- Broadens State commission flexibility to operate specified national service programs directly.

A. Definition of ''Target Community'' and ''Recognized Equivalent of a High-School Diploma'' (§ 2510.20)

Target Community

In the proposed rule, the Corporation defined the term ''target community'' as the geographic community for which an AmeriCorps grant applicant identifies an unmet human need. The Corporation assumed that educational, environmental, and public safety needs were all subsumed within the term ''human need.''

Two commenters interpreted this language as excluding educational, environmental, and public safety needs from the definition. In order to clarify our intent, the Corporation has amended the language to specifically include educational, environmental, and public safety needs (including disaster preparedness and response), in addition to other human needs. The Corporation has also made technical changes to the definition to make it clearer.

Recognized Equivalent of a High-School Diploma

In reading the comments on the proposed tutor requirements, the Corporation concluded that grantees were not clear that the term ''high-school diploma or its equivalent'' means more than simply a high-school diploma or a GED. For the sake of clarity, the Corporation is including a technical amendment to § 2510.20 to clearly define what is a recognized equivalent to a high-school diploma. The definition incorporates the Department of Education's definition of the equivalent to a high-school diploma. Under the Department of Education's regulations (34 CFR § 600.2), the equivalent to a high-school diploma includes not only a GED, but also (1) a State certificate received by a student after the student has passed a State-authorized examination that the State recognizes as the equivalent to a high-school diploma; (2) an academic transcript of a student who has successfully completed at least a two-year program that is acceptable for full credit towards a bachelor's degree; or (3) for a person seeking to enroll (or enrolled) in an educational program that leads to at least an associate degree or its equivalent and who has not completed high school but who excelled academically in high school, documentation that the student excelled academically in high school and has met the formalized, written policies of the institution for admitting such students.

B. Member Service Activities on Behalf of the Organization (§§ 2520.20 Through 2520.60)

Except for those member activities specifically prohibited in sections 132 and 174 of the Act, as amended, the Corporation has broad authority to determine appropriate service activities for AmeriCorps members. In the proposed regulation, the Corporation largely codified and clarified the Corporation's current guidelines and grant provisions on this issue. Specifically, the proposed rule clarified that AmeriCorps members may: (1) Perform direct service activities, and (2) engage in other activities that build the organizational and financial capacity of nonprofit organizations and communities, including volunteer recruitment and certain fundraising activities.

Several commenters supported allowing AmeriCorps members to be involved in capacity-building, including fundraising activities. Others expressed concern that AmeriCorps may be diluting its mission by allowing members to engage in capacity building activities, rather than direct service exclusively. One commenter opposed members engaging in anything other than direct service, on the basis that partner organizations are providing matching resources for direct services provided onsite, such as tutoring during the school day. Another commenter expressed the hope that this policy of allowing member capacity-building activities remain an opportunity for programs, but not become a mandate.

The principal purpose of AmeriCorps is still direct service and ''getting things done'' in our communities and our country. With the exception of the requirement that programs recruit or support volunteers, the final rule does not require that programs allow members to engage in any other capacity-building activities. The final rule merely permits members to engage in such activities, at the discretion of the program. That said, the Corporation believes that AmeriCorps members and AmeriCorps funds have the ability to leverage resources and increase the capacity of the organizations with, and the communities in which, they serve. The Corporation sees no compelling reason to limit members only to direct service, as valuable as that is, when they could also be recruiting or supporting volunteers, helping to raise funds for their projects, and helping to build sustainable service in their communities. Because these activities promote sustainability, which is one of the primary reasons for this rulemaking, the final rule remains unchanged from the proposed rule in terms of permitting members to engage in both direct service and capacity-building activities.

One commenter recommended adding K–12 education as a fifth example under ''developing collaborative relationships with other organizations working to achieve similar goals in the community'' in § 2520.30(b)(4). The Corporation agrees that including K–12 education in that section is appropriate, but believes that the broader category of ''local education agencies or organizations'' is the most appropriate descriptor. Consequently, the Corporation has added ''local education agencies or organizations'' as a fifth example in § 2520.30(b)(4).

AmeriCorps Members Serving With Faith-Based Organizations

The Corporation received comments from several organizations about AmeriCorps members serving with faith-based organizations. Of the comments relating to matters in the proposed rule, one recommended that the Corporation clarify the final rule to ensure that activities on behalf of participating organizations meet statutory and constitutional safeguards regarding religious activity. Specifically, this commenter recommended that §§ 2520.20 through 2520.65 be amended to acknowledge the statutory restrictions on member activities. Another

commenter recommended that the Corporation develop and provide clear guidance for AmeriCorps programs working with faith-based organizations.

The redesignated section 2520.65 (formerly § 2520.30) of the regulations addresses AmeriCorps members' prohibited activities, including those relating to religious activities. The Corporation believes that these prohibitions are sufficiently clear, and further that it would be outside the scope of this rulemaking process to amend them at this time.

One commenter suggested that the regulations require faith-based organizations that receive AmeriCorps funds to establish a separate corporate structure to receive and segregate government funds and the capacity-building activities thereby supported. The Corporation disagrees with this suggestion. While an organization is free to establish a separate account for its Corporation funds, it would be unfair to require faith-based organizations to comply with these additional burdens. Except for the Education Award Program, which offers a modest fixed amount grant, the Corporation requires all its grantees to track their Corporation funds separately and to ensure that they use their Corporation funds only for reasonable and necessary expenses and permissible program activities.

Volunteer Recruitment or Support (§ 2520.35)

One focus of Executive Order 13331 is leveraging Federal resources ''to enable the recruitment and effective management of a larger number of volunteers than is currently possible.'' The proposed regulations clearly directed that some component of an AmeriCorps grant must help build the long-term capacity of nonprofit organizations and the community by recruiting and supporting volunteers. While this has implicitly been a requirement over the past two years, clarifying and reinforcing this requirement in regulation is expected to encourage more Americans to engage in service and volunteer activities, and advance program goals.

One commenter stated that its new homeland security program was successful because AmeriCorps became a tool for partnering with local American Red Cross chapters to maximize the effectiveness of community volunteers by offering them a structured, supervised and coordinated volunteer experience.

On the other hand, several other commenters expressed reservations about the proposed requirement that programs recruit or support volunteers. One commenter stated that it would ''not be an effective use of resources to pull AmeriCorps into volunteer recruitment,'' and that the regulation should be broadened to allow AmeriCorps members to support existing volunteer efforts, rather than requiring every program to generate and recruit volunteers. The language in § 2520.35 of the proposed rule specifically gives programs the option of recruiting *or* supporting volunteers—it does not require all programs to recruit volunteers. Some programs, for example, may not be able to recruit volunteers, but may be able to support volunteers recruited by other organizations. The Corporation, therefore, has not changed the language in this section of the final rule.

Several commenters stated that the recruitment, supervision, and training of volunteers requires higher levels of training and management skills than members generally have, and detracts from direct service and service outcomes. One of these commenters suggested that the Corporation encourage volunteer recruitment, rather than require it. Another commenter stated that the Corporation should not stress sheer numbers of volunteers to the detriment of quality service and effectiveness. In particular, this commenter suggested that the Corporation should guard against taxing the volunteer base beyond its capacity, bearing in mind that all its streams of service, including AmeriCorps State and National, AmeriCorps VISTA, Learn and Serve, as well as Citizen Corps, America's Promise, and the Points of Light Foundation, are recruiting from the same pool of potential volunteers.

As stated in the proposed rule, the Corporation does not intend for this requirement to distract from an organization's mission, nor do we expect grantees to replace direct service with volunteer generation and other capacity-building activities. In most cases, direct service and volunteer recruitment or support can complement each other to strengthen programs and communities. When considering how an AmeriCorps program can promote the effective involvement of volunteers, applicants have the flexibility to determine the best way to enhance or build upon the direct service goals of the program in which the AmeriCorps members are serving and to propose capacity-building activities accordingly. The Corporation strongly believes that most, if not all, programs can support the goal of increasing and supporting volunteering in this country.

As discussed in the proposed rule, however, the Corporation recognizes that some program models, such as certain professional corps, youth corps, and programs in some rural locations with a limited volunteer pool, may not be able to include significant volunteer recruitment or support in their program model, and the Corporation will take these and other factors into account in considering requests to waive the requirement that programs recruit or support volunteers.

The Corporation is maintaining the requirement that programs recruit or support volunteers as currently drafted. We believe that requiring programs to recruit or support volunteers is central to the Corporation's mission of leveraging resources.

One commenter was concerned that many of the member activities permitted by the proposed rule are currently activities performed either by volunteers or employees. This commenter, therefore, read the proposed rule as encouraging displacement of volunteers and employees. In fact, the Corporation prohibits displacement of volunteers and employees. The Corporation only funds programs whose activities add value beyond what would occur in the absence of our funding. Any program that simply replaces volunteers or staff with AmeriCorps members performing the same activities will, by definition, be unable to demonstrate that its program adds value and meets unmet needs in the community.

One commenter saw a disparity between full-time programs and part-time programs in terms of their ability to recruit and support volunteers, and the potential for the Corporation to favor full-time programs. This commenter's view was that a full-time program has more resources upon which to draw when recruiting volunteers and thus an advantage in the grant selection process. The Corporation does not favor full-time over part-time programs, or vice versa. The Corporation seeks to achieve the best use of its resources in light of priorities and funding constraints. In applying its selection criteria, the Corporation has sought to take into account similarities and differences between programs, including part-time and full-time programs. A program of members serving less than full-time would have the opportunity to articulate in its application the challenges it faces in meeting any particular requirement or selection criterion, including the volunteer support requirement.

Several commenters asked whether a program in which AmeriCorps teaching fellows guide K–12 students in a service-learning project could count those students as volunteers for purposes of the volunteer support

component. These commenters said that most Teaching Fellows Programs have a service-learning requirement and that, given the increasing use of service-learning in K–12 schools as a way to connect academic learning to service, it would be helpful to see this reflected in the new rule. One commenter recommended that the section be renamed ''Volunteer Recruitment or Service Learning'' to ensure that AmeriCorps won't be criticized for counting mandatory K–12 class activities as ''volunteer'' work.

The Corporation intends to interpret the requirement that programs recruit or support volunteers broadly so as to allow a program to count as volunteers any volunteer activity generated, supported, or coordinated by its AmeriCorps members for purposes of requirement. A program could therefore expect to count as volunteers students engaged in service-learning projects under the supervision of AmeriCorps members. The Corporation does not believe it is necessary to rename the regulatory section to specifically include service-learning, as we will broadly interpret the term ''volunteers,'' as used in this section.

Waiver of Requirement To Recruit or Support Volunteers

Several commenters requested that the Corporation clearly define the method and timing for requesting a waiver from the requirement to recruit or support volunteers, and implement it as part of a pre-application process. Three commenters added that the rule should clearly state that applying for a waiver will not negatively affect a proposal's success in the grant selection process.

The Corporation views volunteer recruitment and support as both a requirement and a competitive criterion in the grant selection process. The Corporation expects that a program that believes it is unable to fulfill the requirement to support or recruit volunteers will address that inability in its application and thereby request a waiver from the requirement. While a waiver request itself will not disadvantage an applicant, failure to address volunteer recruitment or support at all will be a disadvantage in the grant selection process. That said, the extent to which a program recruits or supports volunteers is but one criterion in the grant selection process—the Corporation does not expect that every applicant will be able to meet or demonstrate it can fulfill every criterion. In order to succeed in a competitive grant making process, a program unable to include volunteer recruitment or support will simply have to deliver more with respect to other selection criteria.

If the Corporation is ready to negotiate an applicant's award, and the applicant has requested a waiver, the Corporation will then decide whether to relieve the particular program of the requirement to support or recruit volunteers. The Corporation needs the flexibility, in building our portfolio, to balance the types of programs we will fund. Providing a pre-application waiver, which would essentially entail reviewing an applicant's entire application outside of the competitive process to assess the program design, would undermine our ability to achieve that balance. Furthermore, it would not be the best use of our resources to consider waiver requests for applications that we have not yet determined to be of sufficient quality to receive funding.

The Corporation reiterates, however, that a State commission can require its subgrantees to include volunteer recruitment and support, without regard to whether the Corporation might be willing to waive the requirement. Applicants applying for funding through a State commission will be required to request a waiver from the requirement to support or recruit volunteers through the State commission. We expect a commission to forward requests for waivers only from those applicants for whom the commission has approved the initial request. The Corporation will leave to State commissions the determination of whether a formula applicant effectively makes the case for a waiver from the requirement to support or recruit volunteers, but expects State commissions to make these decisions judiciously. The Corporation will include waiver application instructions in the grant application instructions.

Fundraising (§ 2520.40)

The proposed regulation also clarified that AmeriCorps members may help organizations raise resources directly in support of service activities that meet local environmental, educational, public safety, homeland security, or other human needs. The proposed rule allowed members to participate in a wide range of fundraising activities if these activities make up only a relatively small amount of any individual member's overall service hours. It also allowed members to write grant applications excepting those for AmeriCorps or any other Federal funding. The Corporation believes that these activities could enhance the use of AmeriCorps members to build the capacity of nonprofit organizations, and advance the professional development of the members themselves.

The proposed rule's provisions governing fundraising were more flexible for AmeriCorps members than those for grantee staff, who are subject to Federal cost principles described in the Office of Management and Budget Circulars that generally disallow costs incurred in organized fundraising.

Several commenters were supportive of AmeriCorps members being allowed to engage in fundraising, but had areas of concern. In particular, several commenters felt it was as important for program staff to be allowed to engage in fundraising on AmeriCorps time. Specifically, some commenters opined that if members may engage in fundraising, staff must be able to do so in order to coach, train, and supervise the members, and that absence of this ability for staff may fail to produce positive results.

The OMB circulars set the parameters for allowable expenses and specifically identify the cost of development officers and fundraising staff as unallowable expenses. It would be inconsistent with government-wide rules for the Corporation to allow otherwise. Thus, the final rule is the same as the proposed rule with respect to the restrictions on staff fundraising.

One commenter stated that the language in § 2520.40(a) and (c)(1) implies that members may raise resources for program operating expenses, including staff salaries, travel, supplies, and, equipment. At most non-profit agencies, according to this commenter, this type of fundraising is the responsibility of paid staff. The Corporation's intent is merely to give grantees flexibility to allow members to engage in fundraising for reasonable and necessary costs attributable to the AmeriCorps project, which may, in certain circumstances include the type of expenses this commenter has listed. The Corporation is, in no way, requiring that members engage in fundraising. If programs do use members for fundraising, the programs will nonetheless have to ensure they can continue to meet performance expectations and show results.

One commenter suggested that the rule specifically allow members to engage more broadly in organized fundraising, ''including financial campaigns, endowment drives, solicitation of gifts and bequests'' and similar activities performed ''solely to raise capital or obtain contributions.'' The Corporation's intention was to limit member fundraising to support for the program or project with which they are

serving, and its approved program objectives. Member fundraising was not intended to support on-going broad organizational fundraising objectives. The final rule does not incorporate the suggested change.

Two commenters questioned the efficiency and cost effectiveness of having members help with fundraising. One stated that fundraising is a skill that requires contacts and grant writing abilities that develop over several years. The other commenter felt that many organizations use professional fundraisers and that the obstacle to raising resources is not lack of volunteer fundraisers, but rather the economy. The Corporation takes no position on whether or not having members engage in fundraising is efficient. Some organizations with limited resources may find it useful to use AmeriCorps members for some limited fundraising. Other organizations may not. Ultimately, it is up to the individual program to decide whether, and to what extent, to allow members to engage in fundraising activities. If a program does intend for its members to engage in fundraising, the program should inform prospective members that fundraising will be one of their activities. The Corporation's goal is simply to increase the flexibility of the rules in this area to enable programs to achieve results.

One commenter asked that the Corporation clarify that including member fundraising in a program design will not advantage that program in the AmeriCorps grant selection process. The Corporation will not consider member fundraising as a competitive factor in selecting applicants, and an applicant's decision to have or not have members fundraise will not have a bearing on the selection process. While the Corporation will not judge whether a program chooses to have members engage in fundraising activities, we may assess, either during review or as part of our monitoring and oversight function, whether the fundraising activities are reasonably connected to the program's ability to carry out its objectives and meet its performance measures.

Limitation on Time Spent Fundraising (§ 2520.45)

In the proposed rule, the Corporation limited the time any individual member may spend fundraising to not more than 10 percent of that member's term of service. Several commenters requested that the Corporation define recordkeeping requirements for tracking member fundraising and ensure that they are not overly burdensome to programs. The Corporation will require programs to identify fundraising on member time-sheets, just as they currently identify hours that members spend training. Again, member fundraising is an option, not a requirement. If a program chooses to have members engage in fundraising, the program must track and report on the number of hours members spend on fundraising activities.

Several commenters believed that the 10 percent cap on hours spent fundraising should be counted in the aggregate across the program, as it has been for training and education activities, rather than member-by-member. Another commenter proposed that members be allowed to exceed 10 percent of their time on fundraising when fundraising activities are geared toward efforts to build organizational capacity and expand services. The Corporation's goal in establishing a member-by-member limit is to ensure that any one member does not spend a disproportionate number of hours on fundraising activities. Consequently, the Corporation has left the 10 percent limit on a per-member basis. In addition, the Corporation considers 10 percent, or the equivalent of 170 hours for the average full-time member, as sufficient to allow for a meaningful member contribution in this area. The Corporation, therefore, has not increased the maximum allowable percentage in the final rule.

Clerical and Administrative Activities (§ 2520.65 in Proposed Rule)

Prior to issuing the proposed rule, the general rule prohibited AmeriCorps members from engaging in clerical activities as part of their service, except if incidental to direct service, or if the Corporation authorized otherwise in connection with homeland security or other activities. The general expectation and practice among AmeriCorps grantees was that members did not perform clerical activities, except as an incidental part of their direct service. In the proposed rule, the Corporation increased grantees' ability to allow members to perform clerical activities, up to a 10 percent cap of each member's term of service.

Many commenters opposed allowing members to perform any administrative duties. One commenter was concerned that this provision would create an incentive to take members away from direct service activities. Two other commenters were concerned about members supplanting the duties formerly performed by employees. Another commenter was concerned about the administrative burden of keeping records to document compliance with this limitation. Another was concerned that one of the reasons that individuals join AmeriCorps is because they believe they will be doing real service work and making a difference, and not to do clerical work as part of their regularly expected or scheduled activities.

The Corporation agrees that the proposed rule did not sufficiently consider the potential for these and other unintended consequences. The Corporation is, therefore, removing from the final rule § 2520.65 that would allow 10 percent of a member's term of service to be spent on administrative activities, and thereby returning to the current policy. The common expectation among program directors and AmeriCorps members should be that members may not engage in unreasonable amounts of clerical activities, except in exceptional circumstances as approved by the Corporation. The Corporation believes that the best way to resolve issues relating to members engaging in more significant clerical activities is for Corporation staff to address them on a case-by-case basis directly with grantees as a program quality issue. In limited circumstances, the Corporation may approve a member performing more extensive clerical duties in connection with disaster relief, or other compelling community needs. For example, we might approve a member engaging in some limited amount of clerical activities to lend support to an organization whose regular staff has been called up in the armed forces. On the other hand, it would be inappropriate for an individual to be performing clerical work for extended periods as a part of his or her daily responsibilities in a program not faced with a compelling need as described above.

Fee-for-Service Activities (§ 2520.55)

The proposed rule authorized programs, where appropriate, to collect fees for services provided by AmeriCorps members. One commenter was concerned that allowing fee-for-service in AmeriCorps programs could result in programs competing with other nonprofits and for-profits. The Corporation, consistent with government-wide OMB circulars, has always allowed fee-for-service activities under limited circumstances. For example, an AmeriCorps program that provides inoculations might reasonably charge a nominal fee for providing flu shots, in order to defray costs of the medication. The Corporation does not anticipate that programs will charge the public for every service they provide. In addition, the Corporation's goal is to fund programs meeting unmet needs. We, therefore, do not anticipate

programs will be providing a service that already exists elsewhere in the program's community. For sake of clarity, the Corporation has modified the language in § 2520.55 to state that organizations may choose to collect fees for service under certain circumstances, rather than encouraging them to do so. The final rule maintains the language from the proposed rule that fees-for-service must be considered program income and used to finance the program's non-Corporation share of costs.

''80/20 Rule'' and Education and Training Activities (§ 2520.50)

In the proposed rule, the Corporation codified its longstanding so-called ''80/20'' rule, which limits a program's aggregate number of hours for education and training activities to not more than 20 percent of its members' total service hours. Two commenters opposed the 20 percent limit for training and educational activities, particularly for programs engaged in tutoring. One of these commenters asked that the limit be raised to 25 percent; the other asked that it be raised to 30 percent. The Corporation continues to believe that 20 percent is an appropriate limit on training and education activities to ensure that programs are able to meet their programmatic objectives, and the final rule remains unchanged in that regard. However, the Corporation is establishing the base for the aggregate 20% limitation as the number of hours members agree to perform in their term of service, as reflected upon their enrollment in the National Service Trust. This clarification will alleviate the audit problem programs face when members are released from the program before completing the agreed-upon term of service, and the program has provided a large part of its training agenda at the beginning if the program year.

C. Increase in Required Grantee Share of Program Costs (§§ 2521.35 Through 2521.90)

Sections 121 and 140 of the Act require an AmeriCorps grantee to provide not less than 25 percent of operating costs and 15 percent of member support costs. The Corporation has the discretion under the statute to increase the minimum grantee share of costs, and did so in 1996, when we increased the grantee share of operating costs from 25 percent to 33 percent.

Section 130 of the Act explicitly authorizes the Corporation to ask an organization applying for renewal of assistance (or ''recompete'' funding) after an initial three-year grant period to describe how it has decreased its reliance on Federal funding. In addition, in our annual appropriations act each year dating back to fiscal year 1996, including most recently the Consolidated Appropriations Act for fiscal year 2005, Congress has directed the Corporation to ''increase significantly the level of matching funds and in-kind contribution provided by the private sector,'' and to ''reduce the total Federal costs per participant in all programs.'' Finally, E.O. 13331 directs that ''national and community service programs should leverage Federal resources to maximize support from the private sector and from State and local governments.''

Consequently, the proposed rule increased, in a predictable and incremental fashion, the grantee share of program costs to a 50 percent aggregate (overall) level by the 10th year in which an organization receives AmeriCorps funding. Under the proposed rule, each grantee was required to meet the current minimum requirements of 33 percent match (cash or in-kind) for operating costs and at least 15 percent match (non-Federal cash only, except for health care benefits) for member support costs. After meeting those minimum requirements, the grantee could meet the balance of its aggregate share of costs through any combination of operating or member support matching resources.

To avoid confusion about the terms ''aggregate share'' and ''aggregate match'' as used in the proposed rule, the Corporation has changed the terminology in the final rule to refer to an ''overall match'' or ''overall share.'' The overall match or share is the total of the program operating costs match and the member support match that the program must provide starting in the fourth year the program receives a grant. For example, consider an AmeriCorps grant with a total budget of $400,000—$200,000 for member support that includes such items as the living allowance, FICA, worker's compensation, unemployment insurance, and health care costs, and $200,000 for program operating costs that includes staff, operating, and administrative costs. Current matching requirements would call for this grantee to provide at least 15 percent of member support costs ($30,000) and 33 percent of operating costs ($66,000). In this example, the minimum overall grantee share is $96,000, or about 25 percent. By year 10 with the same total budget, the program must provide $200,000 overall towards the $400,000 budget.

In the proposed rule, the new matching requirements began in the fourth year and increased in each year thereafter in which an organization received a program grant up to a 50% overall match by the tenth year an organization continued to receive funding for the project.

The proposed rule established that a current grantee or subgrantee that had received an AmeriCorps grant for one or more 3-year grant cycles at the time the regulation takes effect would begin meeting the match requirements at the year three level. So, for example, an organization that is in its fourth year of AmeriCorps funding when the regulation takes effect would remain under the existing requirement in the first year the new rule is in effect. In the second year the new rule is in effect, the grantee would be considered in year 4 on the new matching scale and its overall share would begin to increase in regular increments.

The proposed rule signaled the Corporation's intent to provide training and technical assistance to grantees to assist them in achieving their matching goals. We also committed to consulting with grantees to determine the most useful and appropriate training and technical assistance.

In the proposed rule, we indicated that we believe it is reasonable to expect most grantees to achieve the increased level of matching, and stated our expectation that State commissions continue to manage their portfolios to achieve even higher match levels.

Increased Match Requirements

Over 70 commenters addressed the proposed increase in match. Several commenters supported the proposed share increase in principle or as an overall strategy. One commission stated that increasing a program's match requirement each year strengthens the program's connection to the local community and increases the buy-in of program sponsors. Several commenters specifically indicated that their organizations would not have trouble meeting the new match requirements, but they were concerned about the effect of the new rule on other organizations, particularly those in rural and severely economically-distressed areas. One commission indicated that programs in its State would not have a problem meeting the in-kind match requirements, but would have trouble meeting the cash match requirement over time. In response to this last comment, a grantee's cash match requirement may not necessarily increase over time. Once a grantee meets the minimum 15 percent non-Federal cash match for member support costs, the grantee may meet the balance of its

overall share of costs through any combination of operating and member support matching resources, including in-kind donations, provided that the resources meet the criteria of 45 CFR 2541.240 or 45 CFR 2543.23, as applicable.

Most commenters on this issue opposed the proposed match increases. Most of these commenters viewed the increased match as inconsistent with the long-term stated goal of creating ''a framework for long-term growth and sustainability of the AmeriCorps program as a public-private partnership.'' Many commenters stated that ''in the current philanthropic climate, increasing the match requirements for AmeriCorps programs will destabilize those programs and force many out of existence.'' One commenter viewed the progressive match increases as ''steps toward de-funding * * * without any consideration for need and the impact of the services provided.'' The Corporation, however, continues to believe that an important piece of sustainability is decreasing reliance on Federal funding, and increasing the capacity of organizations operating AmeriCorps programs to assume more of the cost. This will make existing grantees stronger and more tied to their communities, while allowing the Corporation to satisfy Congressional direction, invest in new programs, and expand the reach of national and community service. The Corporation does agree that there is a point at which match requirements can become de-stabilizing, but a 50 percent overall share does not reach that point. In addition, Congress has consistently directed the Corporation to ''increase significantly the level of matching funds and in-kind contribution provided by the private sector.'' The Corporation is, therefore, maintaining the match requirements as drafted in the proposed rule, according to the following table, except for programs in rural or severely economically distressed communities, which we address more fully later:

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10 and on
Minimum Overall Share	N/A	N/A	N/A	26%	30%	34%	38%	42%	46%	50%

The final rule clarifies that, as is currently the case, a grantee will be held to its matching requirements at grant closeout—usually at the end of each three-year grant cycle. At that time, the grantee must have contributed match in an amount equal to the combined total of each year's required match amounts. For example, if a grantee begins a recompeting program grant matching at the year 4 level (26 percent) and has a grant in the amount of $100,000 in the first year, $110,000 in the second year, and $115,000 in the third year, the grantee would be responsible at the end of the three-year grant for a total of $98,100 in match (the sum of 26 percent of $100,000 in the first year, 30 percent of $110,000 in the second year, and 34 percent of $115,000 in the third year.) The Corporation does not necessarily expect the grantee to provide match on a year-by-year basis according to the schedule, as long as the total match at the end of the three-year grant meets the regulatory requirements. If the grantee does not reach the 26 percent threshold of $100,000, or of actual expenditures, in the first year of the grant (year 4 on the matching scale), but makes up the difference by matching more than the amount required in year 2 or year 3 (year 5 or year 6 on the matching scale) such that the cumulative match across the three years meets the requirement, the grantee will be in compliance and will not be required to repay funds.

Several commenters indicated that the increased match requirements will force program staff to spend more time on the administrative burdens of raising and documenting match, which will directly impact member attrition, service hours, training and education, and programmatic outcomes. Many programs, however, have demonstrated that they can exceed the expected match levels without adverse results. Our common challenge is to share best practices to achieve both sustainability goals and improve program outcomes. For example, at least eight State commissions already have match requirements that are more stringent than the Corporation's current requirements.

One commenter questioned how the Corporation plans to use training and technical assistance to help programs that cannot meet the 50 percent match. In response, the Corporation reiterates its intent to target training and technical assistance to assist grantees having difficulty raising match. The Corporation will consult with grantees regarding the issues that training and technical assistance should address, and how best to deliver such training and technical assistance.

Timetable for Match Increases

One commenter supported the 3-year ''establishment phase'' during which the grantee share for new programs remains unchanged and ''grandfathering'' existing programs into the match schedule at the year 3 level.

A few commenters requested clarification as to what the match requirements would be for current programs that have completed one or more 3-year grant cycles on the date the regulation takes effect and how the ''N/A'' applies to a program beginning its match requirements at the year three level. In years 1 through 3 that an organization receives a grant, it is required only to meet the minimum 15 percent member support, and 33 percent operational costs match requirements. There is no overall match for years 1 through 3—hence the ''N/A.'' In each year from year 4 on, once a grantee has met the minimum 15 percent and 33 percent as described above, it may meet the additional match in whatever combination of additional member support or operational costs match it deems appropriate. Any program that has received 3 or more years of AmeriCorps funding on the date the regulation takes effect will begin matching at the year 3 level (meeting the minimum matches in member support and operating costs). These programs will, therefore, have another 7 years before their overall match requirement reaches the maximum 50 percent match. A new program will be required to meet the 15 percent and 33 percent minimum match requirements for member support and program operating costs during its first three-year grant period, and the required overall match in year 4 and beyond, unless the program receives a waiver. The Corporation has not amended the final rule on this point.

The following table reflects when and how the new match requirements will take effect:

If in the 2005 program year, your program has received AmeriCorps funding for this many years	Then, you will begin matching in the 2005 program year at this year level
0	1
1	2
2	3
3	3
4 or more	3

Impact of Match Requirements on Small, Economically-Distressed, and Rural Communities

Many commenters raised concerns about the impact of the sustainability requirements on small, economically-distressed, and rural communities. One representative of a commission in a largely rural State was concerned that the increased match requirements would eventually mean that no programs would exist in that commission's State because of the lack of resources. Another State specifically requested that its ''unique geography, weather, population, and general remoteness be reflected in the application of the new regulations, either granting [the State] an exception for sustainability rules or creating a less onerous sliding scale.''

While the Corporation continues to believe that most programs can meet the requirements as stated in the proposed rule, the Corporation is concerned about the impact this rule could have on programs operating in rural and economically distressed areas across the country. The Corporation wishes to increase AmeriCorps participation in those areas and is concerned that a ''one-size fits all'' approach to the match might contravene that goal.

After much deliberation and consideration of the comments on this issue, the Corporation has developed an alternative match schedule that, while still requiring increases over time, does so more gradually up to a 35 percent overall match requirement in the tenth year an organization receives AmeriCorps funding. The Corporation will authorize the alternative match scale for programs that demonstrate they are in rural or severely economically distressed communities, and that they need the lower match requirement. This alternative match schedule will not be available to programs that the Corporation believes are able to meet the regular match requirements. For example, a program that historically has demonstrated its ability to meet the higher match will continue to be required to do so, even if it is located in a rural or severely economically distressed community. The alternative match requirement will allow programs in rural and severely economically distressed communities to provide match over 10 years at a lower rate than other programs, but still increase their overall match levels over time. The alternative match requirement will be in effect for the duration of the three-year grant period. A program that qualifies for the alternative match requirement will have to reapply to extend the alternative match requirement for any subsequent recompete application.

The alternative match scale for programs in rural or severely economically distressed communities will incrementally increase beginning in the seventh year the organization receives AmeriCorps funding and reach 35 percent by the tenth year the organization receives AmeriCorps funding. The following table summarizes the alternative match requirements for these programs:

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10 and on
Minimum Overall Share	N/A	N/A	N/A	N/A	N/A	N/A	29%	31%	33%	35%

The alternative match requirement is designed to address the specific circumstances of programs that must primarily conduct their fundraising in low resource areas. The Corporation believes that this alternative lower match scale for the programs in our neediest communities will allow such programs to begin, or continue to participate in AmeriCorps and meet those communities' unmet needs.

Qualifying for Alternative Match Requirement as Rural

In determining whether a program is rural, the Corporation intends initially to consider the most recent Beale code rating published by the U.S. Department of Agriculture for the county in which the program is located. Any program located in a county with a Beale code of 6, 7, 8, or 9 will be eligible to apply for the alternative match requirement. The table below provides definitions for each Beale code.

2003 BEALE CODES

Code	Metro type	Description
1	Metro	Counties in metro areas of 1 million population or more.
2	Metro	Counties in metro areas of 250,000 to 1 million population.
3	Metro	Counties in metro areas of fewer than 250,000 population.
4	Non-metro	Urban population of 20,000 or more, adjacent to a metro area.
5	Non-metro	Urban population of 20,000 or more, not adjacent to a metro area.
6	Non-metro	Urban population of 2,500 to 19,999, adjacent to a metro area.
7	Non-metro	Urban population of 2,500 to 19,999, not adjacent to a metro area.
8	Non-metro	Completely rural or less than 2,500 urban population, adjacent to a metro area.
9	Non-metro	Completely rural or less than 2,500 urban population, not adjacent to a metro area.

Qualifying for Alternative Match Requirement as Severely Economically-Distressed

In determining whether a program is located in a severely economically-distressed county, the Corporation intends initially to consider the following county-level characteristics: County-level per capita income is less than or equal to 75 percent of the national average for all counties using the most recent census data or Bureau of Economic Analysis data; the county-level poverty rate is equal to or greater than 125 percent of the national average for all counties using the most recent census data; and county-level unemployment is above the national average for all counties for the previous 12 months using the most recently available Bureau of Labor Statistics data.

The following table provides the website addresses where the publicly-available information referred to above can be found:

Web site address	Explanation
www.econdata.net	Econdata.Net: This site links to a variety of social and economic data by States, counties and metro areas.
www.bea.doc.gov/bea/regional/rei	Bureau of Economic Analysis' Regional Economic Information System (REIS): Provides data on per capita income by county for all States except Puerto Rico.
www.census.gov/hhes/www/saipe/index.html	Census Bureau's Small Area Poverty Estimates: Provides data on poverty and population estimates by county for all States except Puerto Rico.
www.census.gov/main/www/cen2000.html	Census Bureau's American Fact-finder: Provides all 1990 and 2000 census data including estimates on poverty, per capita income and unemployment by counties, States, and metro areas including Puerto Rico.
www.bls.gov/lau/home.htm	Bureau of Labor Statistics' Local Area Unemployment Statistics (LAUS): Provides data on annual and monthly employment and unemployment by counties for all States including Puerto Rico.
http://www.ers.usda.gov/Data/RuralUrbanContinuumCodes/	U.S. Department of Agriculture's Rural-Urban Continuum Codes (Beale codes): Provides urban rural code for all counties in U.S.

The location of a program will be determined by the legal applicant's address, except where the Corporation in its sole discretion determines that some other address is more appropriate. If a particular legal applicant believes that its address or the use of county-level data is not the appropriate way to determine the program's location or its funding environment, the applicant may make its case to the Corporation as to why the Corporation should consider the program location differently and the basis for requesting the alternative match requirement. An example might include a program located in a more affluent or urban area but with a majority of its members serving at sites located in rural or severely economically distressed counties and whose fundraising primarily occurs in those counties through matching contributions from the sites. The Corporation will disseminate instructions on how to apply for the alternative match schedule in the AmeriCorps application instructions.

Note that the alternative match schedule for programs in rural and severely economically distressed counties does not replace the Corporation's existing statutory authority to waive match based on a demonstrated lack of resources at the local level (§ 2521.70). The Corporation accepts requests for waivers from any program unable to meet its match requirements if the waiver would be equitable due to lack of available financial resources at the local level. However, the Corporation provides these waivers only in extreme circumstances, and only when it would be equitable. The burden is on the grantee to demonstrate the unique lack of resources in its community that would support the Corporation's granting a waiver equitably.

Intermediaries

The Corporation received several comments from intermediary organizations expressing concern that the 50 percent match requirement would hamper their ability to provide service to communities through a changing portfolio of new and small community organizations, including faith-based. The Corporation believes that the higher match may be difficult for some organizations that regularly bring on new small sites that themselves contribute matching funds to meet matching requirements. Many faith-based and small-community based organizations are only able to participate in AmeriCorps through this type of intermediary organization that has the infrastructure to manage all the Corporation's requirements. The Corporation is concerned that the increase in match requirements to 50 percent over 10 years could create a barrier to those organizations' continued participation in AmeriCorps.

However, in attempting to craft regulatory language that addresses this issue, the Corporation was unable to adequately define ''intermediary organizations'' without the rule becoming either over-inclusive, or, alternately, inappropriately inciting organizations to change their business model. Moreover, after close analysis, the Corporation does not believe it necessary to make substantive changes to the regulations to accommodate these types of organizations, as the Corporation may use its statutory waiver authority to accommodate an organization that is having difficulty meeting its match requirements due to lack of resources at the local level.

The Corporation will consider waiving the higher match requirements for this type of intermediary if the intermediary demonstrates (1) that the majority of its members are placed in new organizations or small faith-based and other community organizations, and (2) the intermediary derives its matching funds substantially from the contributions of placement organizations that are unable to generate the higher match amounts.

One commenter suggested that the proposed match requirements would have a disproportionate impact on community organizations, including faith-based organizations, and thus, could violate section 104 of the Temporary Aid for Needy Families legislation (TANF), better known as ''charitable choice.'' The Corporation is committed to equal protection and the expansion of opportunities for involvement by community

organizations, including faith-based organizations, and believes that this final rule includes several refinements that help to achieve those goals. These include (1) the Corporation's plan to review similar program models together in the selection process; (2) special consideration in the selection process for programs operated by, or involving, community organizations, including faith-based organizations; and (3) the ability of members to engage in capacity-building activities. In addition, the Corporation's waiver authority, as discussed above, will enable the Corporation to adjust match requirements under limited circumstances. The Corporation will continue to look for effective ways to include community organizations, including faith-based organizations, in national and community service.

Definition of ''Grantee'' for Purposes of Match Requirements

Several commenters asked that the Corporation clarify to whom the matching requirements apply. The Corporation has added a new section 2521.40 to clarify that matching requirements apply to subgrantees of State commissions and direct program grantees of the Corporation. The Corporation will hold State commissions to an aggregate overall match based on the matching levels of all its subgrantees, which will be adjusted annually to reflect the annual change in each of the commission's subgrantee's share of costs. A State commission will be required to repay funds to the Corporation if, in the aggregate, the commission's subgrantees do not meet their match requirements under these regulations. The Corporation will expect the State commissions to monitor match requirements for their subgrantees and ensure that individual subgrantees are meeting their match requirements. The Corporation will review subgrantee match levels when an organization recompetes for AmeriCorps funding. At that point, the Corporation will consider an applicant's success in meeting both its budgeted match (match as reflected in an applicant's grant application budget) and regulatory match requirements (match as required under these regulations).

Some national direct organizations requested that the match requirements be imposed at the parent organization (for multi-State grantees) level, while others believed that it would be more consistent to apply them at the sub-grantee or site level. One commenter noted that national directs need the flexibility to match at the grantee level rather than the operating site level, where resources may be more limited. The Corporation believes that the responsible entity for meeting the increased match requirements is the parent organization; however, the parent can choose either to pass down the match requirements or use a portfolio strategy to manage the match requirements across its sites.

Two commenters specifically noted that tracking a program's match requirements based on the applicant organization's Employer Identification Number (EIN) penalizes large organizations that support a number of programs. The Corporation agrees that the EIN is not the appropriate identifier to track program match. For purposes of determining the applicable match schedule, the Corporation will determine tenure based on the particular grant and project, rather than legal applicant. The Corporation is modifying its grants management systems to enable us to track the longevity of each program. Thus, one legal applicant will, theoretically, be able to receive funding for two separate programs, under two separate grants, subject to two different match scales depending upon when each program began to receive funding. Similarly, the local site of a national direct grantee may choose to end its relationship with the national direct and compete on its own for State commission funding. If successful, this would constitute a new program and a new grant, and matching requirements would begin at the year one level for this program.

State Flexibility To Meet Match Requirements (§ 2521.65 in the Proposed Rule)

Under § 2521.65 of the proposed rule, if a State commission determined that a particular subgrantee was unable to meet its required matching levels because it operated in a resource-poor community, the State commission could still meet that subgrantee's matching requirements by pairing a high-matching subgrantee in the State commission's portfolio with the low-matching subgrantee to make up the difference. Several commenters supported the proposal to provide the States with flexibility to manage their portfolio of grantees. Two other commenters, however, requested that the Corporation provide flexibility to States to use a State portfolio average for grantee share, rather than allowing commissions to pair low-matching with high-matching subgrantees, as described in the proposed rule. As discussed above, while a commission's subgrantees will be individually responsible to the State for meeting their required match levels according to the match scale they are on, we will hold State commissions to a State portfolio aggregate overall match, based on all the programs' match requirements in a State's portfolio. This means that a State commission will be required to monitor and enforce match requirements for its individual grantees, but will have the flexibility to accommodate discrepancies in match across its portfolio, without increasing its liability to repay funds. The Corporation will only consider the actual matching history of individual commission subgrantees if and when they apply for AmeriCorps competitive funding.

This revised approach makes the provision in the proposed rule that allowed commissions to pair a low-matching subgrantee with a high-matching one for the purpose of meeting match unnecessary. The Corporation has, therefore, deleted that provision from the final rule.

Match Requirements for Organizations With Break in Funding (§ 2521.80)

The proposed and final rule clarify that an organization that has not directly received an AmeriCorps State or National operational grant for five years or more, as determined by the end date of the organization's most recent grant period, may begin matching at the year 1 level upon receiving a new grant from the Corporation. This means that, for example, a site of an existing grantee, or a recipient of a planning grant, that chooses to apply directly to the Corporation for AmeriCorps program funding will be able to apply as a year 1 program, subject to the year 1 match requirements. A program that starts in a State's formula portfolio, on the other hand, and then moves three years later to the competitive pool, will continue meeting match requirements based on where the program was matching the year before. One commenter supported this approach. The final rule includes a new paragraph (b) to § 2521.80 that explains the requirements for former grantees with a break in funding of less than five years.

The following table summarizes the circumstances under which an organization would be deemed to have had a break in funding:

If you previously were a	And then, within 5 years, apply as a	Your status for purposes of match will be
National direct parent, Professional Corps, State competitive, or State formula program.	National direct parent, Professional Corps, State competitive, or State formula program.	Existing grantee (match at the level you would have matched the year following your last grant year).
National direct subgrantee or site, State competitive subgrantee or site, or State formula subgrantee or site.	National direct parent, Professional Corps, State competitive, or State formula program.	New grantee (begin match at year 1).
Any other Corporation grantee	National direct parent, Professional Corps, State competitive, or State formula program.	New grantee (begin match at year 1).

Changing Legal Applicants (§ 2521.90)

The proposed rule stated that an organization that is a new or replacement legal applicant for an existing program would be required to provide matching resources at the same level as the previous legal applicant was matching at the time the new organization took over the program. Two commenters objected to this provision, stating that the original legal applicant may have many established sources for match that are not available to the new legal applicant, and the latter therefore might not be able to pick up where the first legal applicant left off. Another commenter asked the Corporation to define an existing program under this proposed provision.

By existing program, the Corporation means a set of project activities meeting specific unmet needs of a community previously funded by the Corporation. Over the years, several programs have had a change in legal applicants either in the middle of a grant cycle, or at the end of a grant cycle. The Corporation, therefore, saw a need to include a provision to address this circumstance. To the extent that a new grantee is unable to meet the match at the level of the predecessor legal applicant, the grantee may request a waiver of the match requirements due to lack of resources at the local level.

Limitations on the Use of Federal Funds

The comments revealed some confusion over grantees using other Federal funds to meet the increased match requirements. As reflected above, the Federal share of member support costs, excluding health care, may not exceed 85 percent. There is no statutory prohibition or limit in the NCSA on an organization using other Federal funds, to the extent otherwise permitted, to cover its share of operating (*i.e.* costs other than member support) or health care costs. As a matter of compliance, grantees may use Federal funds for their non-member support related match, as long as the other Federal agency permits its funds to be used as match for Corporation funds. However, as a matter of program performance, more non-Federal funds are better, because Congress' mandate to the Corporation is to ''increase significantly the level of matching funds and in-kind contributions provided by the private sector.'' Consequently, an organization's reliance on Federal funds could have an impact in the selection process, where we will consider the diversity of non-Corporation funding, including non-Federal funding, and the extent to which grantees are increasing private sector contributions.

Several commenters objected to the proposed blanket prohibition on a grantee's using other Federal funds for the grantee's share of member support costs. While the proposed rule appeared to set a maximum Federal share of 85 percent for all member benefits, that was not the Corporation's intent. The Corporation has amended the language in § 2522.250(b)(3), relating to health care benefits, to reflect, consistent with the NCSA, that health care benefits are subject to a maximum Corporation share of 85 percent, rather than a maximum Federal share.

The final rule also includes a technical amendment in § 2521.45(a)(2) relating to professional corps programs. In the proposed rule, the Corporation reiterated, in clearer language, the current regulatory language, by stating that professional corps programs could not use any Corporation *or other Federal funds* for any part of the member living allowance. In practice, the Corporation has never prohibited professional corps programs from using non-Corporation Federal funds towards the living allowance, and does not believe that such an extreme limitation is appropriate or warranted by statute. The Corporation is, therefore, amending the final rule to reflect that professional corps programs are prohibited only from using Corporation funds for the living allowance, thereby bringing the regulation in line with Corporation policy and practice.

Match Requirements for Indian Tribes

Indian Tribes must, as a general matter, meet the regular match requirements applicable to all Corporation grantees. Most of the Corporation's current tribal grantees, however, are located in rural or severely economically depressed areas of the country. Consequently, they will likely be eligible to waive into the alternative match requirement, assuming they have not demonstrated the ability to meet higher match requirements in the past. To the extent that a tribal grantee is not able to meet even the alternative match requirement, the Corporation will, as always, consider using its statutory waiver due to lack of resources at the local level. In compliance with Executive Order 13175, the Corporation will handle any waiver request from an Indian Tribe in an expedited manner.

Match Requirements for U.S. Territories

Section 1469a of title 48, United States Code, requires departments and agencies to waive ''any requirement for local matching funds under $200,000 (including in-kind contributions) required by law'' for Guam, the Virgin Islands, American Samoa, and the Northern Mariana Islands. Consequently, the Corporation waives the AmeriCorps matching requirements for those U.S. Territory governments. Non-profits and other organizations located in the territories that apply directly to the Corporation are not eligible for this title 48 waiver, and will be required to meet the match requirements applicable to all regular AmeriCorps programs, absent some other Corporation waiver.

Other Assistance for Low-Matching Programs

In the proposed rule, the Corporation identified several strategies of targeted assistance for otherwise well-performing and compliant programs who are demonstrably at risk of not meeting the new matching requirements. The Corporation remains committed to assisting grantees in the following ways: (1) By looking for opportunities to align our resources, including training and technical assistance and other program resources such as VISTA members, if appropriate, to help grantees identify new strategies to raise matching resources and community support and to help broaden and build the capacity of community organizations; (2) by

looking for opportunities to help raise resources; (3) by providing State commissions the flexibility to meet their overall match requirements in the aggregate across their portfolio of programs; and, (4) through limited use of the Corporation's statutory authority to waive match requirements for those satisfactorily performing and otherwise compliant programs that demonstrate an inability, in spite of reasonable efforts, to achieve sufficient financial support to meet the increased matching requirements.

The Corporation believes that incrementally increasing match requirements and providing an alternative match requirement for programs in rural and severely economically distressed communities, together with the measures described above that are designed to assist grantees in meeting the new requirements, satisfy Congressional direction and represent a fair, equitable, and authoritative resolution of the issue of organizational financial sustainability, such that additional requirements in annual appropriations bills, or through rulemaking, are not necessary. We intend to monitor and report to the public on a regular basis the progress grantees are making in leveraging Federal resources.

D. Codifying the Cap on Child-Care Payments and Corporation Share of Health Benefits (§ 2522.250)

Child Care

Section 140(e) of the Act authorizes the Corporation to establish guidelines on the availability and amount of child-care assistance. By current regulation, child-care payments for eligible AmeriCorps State and National members are ''based on'' amounts authorized under the Child Care and Development Block Grant Act of 1990. These payments are made directly to the child care provider on behalf of a full-time member eligible for childcare assistance. To be eligible, a full-time participant must be the parent or legal guardian of a child under 13 who resides with the participant, must have a family income less than 75 percent of the State's median income, must not currently be receiving child care assistance from another source (including another family member), and must certify that such assistance is necessary in order to participate in AmeriCorps. To be eligible to receive a payment, a child care provider must be eligible to receive payments under the Child Care and Development Block Grant Act of 1990. In the proposed rule, the Corporation made one change to existing regulation by explicitly capping the amount of child-care benefits for any individual AmeriCorps member at the level established by each State under the Child Care and Development Block Grant.

One commenter opposed the proposed change on the grounds that it could lead to a reduction in the amount of assistance available to an AmeriCorps member in a State that requires counties to match Federal Child Care and Development Block Grant funds. Several commenters expressed concern that the proposed rule did not provide direction to a State that is issued a waiver under the CCDBG program. Several commenters expressed concern that the proposed rule was not clear on what formula would be used to determine child care assistance. Two commenters commended the proposed rule for providing clarity and direction to State childcare agencies and providers. Another commenter recommended that current levels for child care be maintained in order to preserve equal access and opportunity to AmeriCorps.

The final rule ensures that child care assistance on behalf of eligible AmeriCorps members does not exceed applicable payment rates to an eligible child care provider established by each State under the Child Care and Development Block Grant Act. Under that Act, each State must certify that payment rates are sufficient to provide access to child care services for eligible families that are comparable to those provided to families that do not receive subsidies. To demonstrate that its plan achieves equal access, a State must consider the results of a local market survey conducted at least every two years. The CCBDG Act affords States latitude in setting payment rates—rather than a formal waiver mechanism—provided that a State demonstrates that it has considered key elements of equal access, outlined in the U.S. Department of Health and Human Services regulations published at 45 CFR 98.16 and 98.43. The fact that a particular State might require counties to contribute a portion of the payment does not affect the amount of the payment to an eligible provider, which is based on the local market survey. An AmeriCorps member is eligible for the same payment established by the State under the CCDBG Act to an eligible child care provider in the applicable locality, regardless of whether a county contributes to that payment. The Corporation seeks only to ensure that any child care assistance to an eligible AmeriCorps member not exceed the applicable payment rate to an eligible provider under the CCDBG Act. Therefore, the only change we have made in the final rule is to clarify that the payment rate in question is ''to an eligible provider.'' However, we intend to solicit suggestions about how, given the relatively limited Federal funds available, we should structure the provision of child care assistance to full-time AmeriCorps members, and may amend these regulations in the future.

Health Care Benefits

In § 2522.250(b)(3) of the proposed rule, the Corporation mistakenly referred to a maximum *Federal* share for health care benefits, rather than the maximum *Corporation* share of 85 percent, as provided in statute. Several commenters noted the discrepancy. The Corporation has amended the above-referenced section, and added a new § 2521.45(a)(4) to now refer to the maximum Corporation share.

One commenter read the proposed rule as mandating health care benefits for all members. The Corporation did not, in fact, change any of the rules relating to health care benefits for AmeriCorps members. Programs must, as always, provide each full-time member with health benefits if the member does not otherwise have coverage.

E. AmeriCorps Grants Selection Process and Criteria (§§ 2522.400 Through 2522.475)

In addition to establishing specific AmeriCorps grant application requirements, section 130 of the Act, gives the Corporation broad authority to set additional application requirements and to establish the selection process. We are adjusting our grant selection criteria to meet three objectives: (1) To better align the selection criteria with elements that predict program success; (2) To incorporate into the selection criteria greater emphasis on all elements of sustainability; and (3) To provide transparency, predictability, and consistency for organizations applying for AmeriCorps funds.

The proposed rule described the Corporation's processes and criteria for selecting grantees. In selecting AmeriCorps programs, the Corporation generally needs to know four things: (1) An organization's plan and its expected outcomes; (2) Whether the organization can manage Federal funds, and operate and support the proposed program effectively; (3) The budget adequacy and cost-effectiveness of the proposed program; and (4) For an existing program, whether the organization has implemented a sound program, including achieving strong outputs and outcomes, demonstrating organizational

capability and cost-effectiveness, and complying with other Corporation requirements.

To address these issues, the proposed rule modified the current structure of three overall categories of criteria—Program Design, Organizational Capability (formerly Organizational Capacity), and Cost-Effectiveness (formerly Budget/Cost-Effectiveness). We adjusted the weights of the three categories to better balance program design against organizational strength, which is reflected through organizational capability and cost-effectiveness. Consequently,

- Program Design was worth 50 percent of the score (as opposed to 60 percent currently),
- Organizational Capability remained at its current 25 percent weight, and
- Cost-Effectiveness increased to 25 percent (as opposed to 15 percent currently).

Under these regulations, the Corporation's focus within Program Design is now on the relationship between an applicant's rationale and approach, on the one hand, and the outputs and outcomes to be achieved for members and the community, on the other. Most of the criteria from the Corporation's current AmeriCorps 2005 guidelines remain part of the revised selection criteria, although they may now appear under a different category. (Please visit our website at *www.nationalservice.gov/funding_initiatives* to view the AmeriCorps 2005 guidelines). We also added criteria across all three categories to better reflect our focus on outcomes and sustainability and our desire to maintain a portfolio that serves a broad range of people through diverse program models.

General Comments About Selection Criteria and Process

Two commenters supported the Corporation's effort to clarify the grant selection criteria. One of these commenters expressed the hope that this process and the criteria would foster stronger cooperation between States and the Corporation. Several commenters, however, felt that the proposed rule did not achieve the NPRM's stated goals of providing transparency, predictability, and consistency. Three commenters recommended maintaining the grant selection criteria currently in use.

The Corporation strongly believes that, in setting out the selection process and criteria in regulation, and tightening the selection criteria themselves, the Corporation has greatly increased the transparency, predictability and consistency of the selection process. Furthermore, the Corporation has endeavored to clarify, step by step, how the selection process works.

One commenter noted that the proposed rule fails to distinguish between new and recompeting applicants regarding which elements would apply only to recompeting organizations. The Corporation has amended the language to indicate, where relevant, that a particular provision applies only to applicants that have previously received AmeriCorps funding.

Some commenters read the proposed rule as removing State and local control over which programs receive funding in the State. The Corporation disagrees with this interpretation. First, States, as always, have broad discretion over which programs to fund through their formula allocation. Second, States continue to have the discretion to decide which proposals to forward to the Corporation for competitive funding. The selection criteria, as proposed, do not represent a substantial deviation from the selection criteria the Corporation has used up until now—they are more focused, clearer, more specific, and incorporate more elements relating to performance and sustainability.

Two commenters recommended that the selection criteria explicitly include program enrollment and retention rates. The Corporation agrees that a program's history of member enrollment and retention rates should be a factor in the selection process. The final rule includes a new subsection 2522.425(b)(2) to reflect this. The Corporation does not, however, believe it necessary to include a specific selection criterion on the timeliness of reporting, particularly since the Corporation may consider a grantee's reporting on prior grants under § 2522.470(b)(1), in the context of clarifying and verifying information in a grant application. We expect all Corporation grantees to comply with all program requirements, including timely reporting. While the Corporation has an interest in improving grantee timeliness with reporting requirements, we do not believe it is appropriate to measure as basic an expectation as meeting deadlines in the competitive process.

One commenter suggested that the Corporation hold a separate grant competition for stand-alone AmeriCorps programs whose sole mission is national service. This commenter viewed such stand-alone programs as having unique costs and benefits that the Corporation may not be able to consider in the context of a broader competition. The Corporation does not believe that a separate grants competition is necessary for these types of programs as we are prepared, in the grant selection process, to consider the unique circumstances of programs.

Overall Criteria Weight (§ 2522.440)

One commenter supported the increased weight on cost-effectiveness. Four commenters, on the other hand, specifically recommended keeping the weight of program design at 60 percent. One recommended decreasing the weight of organizational capability to 15 percent in order to keep program design at 60 percent. One commenter felt that 25 percent for program infrastructure (presumably organizational capability) was too high, because if a program is performing well and cost-effective, one may presume sound program infrastructure. The Corporation notes, in response, that we did not propose to change the current weight of organizational capability. Both the proposed rule and the final rule maintain the weight of organizational capability at its current 25 percent.

Several commenters recommended that program quality should be more important than cost-effectiveness, and others urged that program design and performance measurement be given more weight. Many commenters opposed increasing the weight of the cost-effectiveness category. One of these commenters believed that AmeriCorps programs are already cost-effective.

Four commenters suggested that the emphasis on cost-effectiveness will lead to lower quality programs. Several commenters expressed concern that it will discourage innovative program design, particularly those reaching hard to serve areas or populations, or distressed rural, poor communities with lack of private and local government resources. As stated throughout this document, the Corporation is very deliberately trying to ensure that the selection criteria, particularly those relating to cost-effectiveness, take into consideration the inherent costs and unique circumstances of each program. The Corporation, therefore, does not anticipate that the shift in emphasis of the selection criteria will lead to the results the commenters above are expecting. The Corporation will, however, monitor the impact of the proposed rule and will publicly share its findings.

Program Design (§ 2522.425)

One commenter stated that fostering civic responsibility should not be a criterion for selection. The Corporation disagrees. The Corporation believes that

AmeriCorps programs should plan for this in a systematic way, and that it is a relevant measure of sustainability. This criterion remains in the final rule.

One commenter recommended including in the final rule language that would ask intermediaries to identify the process by which they will select issue areas and partners, rather than require them to define services and partners for the coming year. Applicants can do this already under the proposed selection criteria. An organization that typically selects its placement sites and specific service activities following approval of the grant will be able, within the selection criteria as currently drafted, to identify how it will select its placement sites and emphasize the types of service activities the program typically supports. The Corporation will continue, however, to require all applicants to include their proposed operating sites and, at least, a general description of member activities in the application for funding.

One commenter recommended that if a program scores poorly in the rationale and approach category, it should receive no further consideration. The Corporation anticipates that any applicant that scores poorly in the rationale and approach category will be unable to adequately respond to the other selection criteria and, therefore, will ultimately score poorly overall. In our view, it is significantly easier to articulate the need for the program than to describe and secure all the elements necessary for program success. For that reason, we do not believe that the rationale and approach subcategory of program design needs more weight or emphasis than it had in the proposed rule.

One commenter recommended that the Corporation clarify its commitment to racial, ethnic, and socioeconomic diversity. Two commenters urged the Corporation to reward programs that successfully recruit a diverse group of participants in terms of racial, ethnic, socioeconomic, geographic and educational backgrounds in the grant selection process. In fact, the Corporation's selection criteria under program design specifically reward applicants who can show they have plans to recruit a diverse corps of members. Another commenter suggested the Corporation intensify efforts to identify and support programs that seek to enroll youth who are low-income or out-of-school. The Corporation's on-line application allows applicants to self-identify their program model from a list that includes youth corps. Our ability to more clearly identify program models, and our plan to review, to the extent possible, similar models together, will allow us to ensure that our portfolio of programs is rich and diverse. In addition, three of the Corporation's priorities, as listed in § 2522.450, specifically include this population.

One commenter interpreted the language in § 2522.425(c)(3) as expecting programs to replace member activities with volunteers. The language refers to assessing the extent to which a program ''generates and supports volunteers to expand the reach of your program in the community.'' This section was not intended to result in volunteers replacing member activities—the goal of this provision was to assess the impact and reach of a program's volunteer generation and support activities in the community.

Organizational Capability (§ 2522.430)

In § 2522.430(c) of the proposed rule, the Corporation stated that in reviewing a proposal submitted by a State commission for competitive funding, the Corporation may deny funding to a program applicant if the Corporation determines that the State commission's financial management and monitoring capabilities are ''materially weak.'' Several commenters expressed concern that the process for determining a State commission to be ''materially weak'' is not clear. One commenter recommended that the status of a commission be based on set criteria and clarified prior to the opening of the grant process, and others opined that applicants should not be penalized if their State commission is weak.

The Corporation's intent in including this factor in the selection criteria was to ensure that, in approving a State's portfolio of programs, the Corporation is able to match the commission's capacity with the needs of the programs we are approving. While the Corporation does assess commission capacity through the administrative standards process, the Corporation does not, in fact, have a mechanism by which it determines a State commission to be ''materially weak,'' and therefore has decided not to use the term in this context. For these reasons, the Corporation has removed paragraph (c) from § 2522.430 in the final rule.

The Corporation will, however, assess a commission's capacity to manage and monitor grants as it prepares to approve the commission's grants package, and may determine that a commission does not have sufficient capacity to manage a particular grant, or manage more than a certain number of grants. The Corporation has added a new paragraph (c) to section 2522.470 that addresses this issue.

Section 2522.430(a)(3) of the proposed rule included as a criterion the extent to which an applicant is securing community support that is ''stronger'' and more diverse. One commenter found the use of the term ''stronger'' unclear, and recommended that the final rule replace that language with ''recurs, expands in scope, or increases in amount.'' The Corporation agrees that the suggested language is more precise and has amended the final rule accordingly.

Cost Effectiveness and Corporation Cost per MSY (§ 2522.435)

In the proposed rule, the Corporation changed the name of the former Budget/Cost Effectiveness category to ''Cost-Effectiveness'' and increased the overall weight of the category from 15 percent to 25 percent. Within this category, the Corporation focused on the adequacy of the applicant's budget to support the planned program design, and whether the program is cost-effective, as measured through one or more of several indicators of cost-effectiveness, including a program's Corporation cost per MSY.

The Corporation received a significant number of comments on the proposed cost-effectiveness category. Several comments focused on defining the cost-effectiveness of a program based on program quality and results. Other commenters recommended determining cost-effectiveness by comparing similar program models for their value as an investment based on mission, quality, location, and results, as well as cost.

One commenter expressed concern that the Corporation would decide not to fund an otherwise high-quality program for falling just short of its required matching level. The Corporation's goal is to fund high-quality programs. The principal mechanism to enforce match requirements is through the grants closeout process, which could require a grantee to repay funds if the grantee has not met required match levels. The inability to meet match does not necessarily bar a program from successfully recompeting, because the selection process allows the Corporation to take into account specific circumstances, strengths, contributions, and challenges of individual programs in deciding who should receive funding. Clearly, a program's record of match is a factor the Corporation will consider, but it is just one of many factors, and each applicant will have the opportunity in the selection process to explain its record in meeting its required match.

Many commenters did not support increasing the weight of the cost-effectiveness category. Some commenters suggested that the emphasis on cost-effectiveness would lead to lower quality programs. One commenter suggested renaming the category as ''Budget, Cost, and Grantee Share,'' maintaining the total score of the cost-effectiveness category at 15 percent (rather than 25 percent as proposed), and, within that 15 percent, assigning 5 percent for Corporation cost per MSY, 5 percent for budget grantee share, and 5 percent for adequacy of budget to support program design. Another commenter suggested weighting the budget adequacy with 50 percent of the points in that category, and Corporation cost per MSY with the other 50 percent. Another suggested that cost-effectiveness be further divided to reflect 60 percent for budget adequacy and 40 percent for Corporation cost per MSY.

With respect to renaming the category as proposed above, grantee share and Corporation cost per MSY are two of several indicators of cost-effectiveness. It would not, therefore, make sense to limit the category to these two indicators. The Corporation agrees, however, that removing the term ''budget'' from the name of this category may have led people to believe that cost-effectiveness was the only aspect the Corporation considered important. In fact, the Corporation believes that budget adequacy is an important factor in the selection process. Accordingly, the Corporation is reinserting the words ''budget adequacy'' into the title of this category of criteria in §§ 2522.420 through 2522.448.

As to the commenter's proposal to maintain the overall scoring of the cost-effectiveness and budget adequacy category back at 15 percent, the Corporation believes that doing so would be counter to its efforts to increase the importance of budget adequacy and cost-effectiveness in the grant selection process. The Corporation views cost-effectiveness and budget adequacy as at least as important as organizational capability, which is also 25 percent, and believes that the appropriate balance is 50 percent for program design, and 50 percent for organizational capability and cost-effectiveness and budget adequacy combined. Consequently, the Corporation is maintaining the cost-effectiveness and budget adequacy category at 25 percent in the final rule.

With respect to weighting the factors within cost-effectiveness and budget adequacy, the Corporation does see merit in clarifying how it will weigh the two separate criteria of cost-effectiveness and budget adequacy. Consequently, the final rule, in new § 2522.448, indicates that the criterion relating to program cost-effectiveness will be worth 15 points out of the 25, with the remaining 10 points for the adequacy of the budget to support the program design. The 15 points for program cost-effectiveness incorporate several different elements: The program's proposed Corporation cost per MSY, and other cost-effectiveness indicators, such as the extent to which the program demonstrates diverse non-Federal resources; the program's matching levels; and, for a recompeting program, the program's ability to expand outcomes without a commensurate increase in Corporation assistance. An applicant can receive high points for cost-effectiveness by proposing a competitive cost per MSY and by showing its strength in any one (or more) of the other cost-effectiveness criteria. We did not, however, include sub-scores for these individual elements, but only for cost-effectiveness as a whole.

Several commenters read the proposed rule as emphasizing cost over quality in the grant selection process. Two commenters recommended conducting a blind review of program design and organizational capacity prior to evaluating programs on the basis of cost-effectiveness in order to ensure that the Corporation funds programs with good models, rather than programs that are simply cheap. The Corporation notes that the cost-effectiveness portion of the new cost-effectiveness and budget adequacy category is worth only 15 of the 100 total possible points. While the Corporation is placing more weight on cost-effectiveness than in the past, this emphasis is consistent with Congressional direction and our efforts to promote program sustainability. That being said, the quality of a proposal is still important, and a poor quality program is unlikely to receive funding, even if it is low-cost.

Because cost-effectiveness is only worth 15 percent of the total score and the criteria allow the Corporation to take into account individual contributions and circumstances of programs, the Corporation sees no reason to review program design and organizational capacity separately—the most cost-effective program will not receive funding if the program model is not sound and the organization does not have the capability to operate it.

Two commenters requested clarification on how the 25 percent for cost-effectiveness and budget adequacy would apply to Education Award Programs. As discussed earlier, Corporation cost per MSY and increase in match indicators are not relevant in the context of assessing the cost-effectiveness of an EAP program. The Corporation does believe, however, that both the adequacy of the budget to support the program, and other indicators of cost-effectiveness can and should apply to EAP programs. Consequently, the cost-effectiveness and budget adequacy category will remain at 25 percent for EAP programs, just like for other programs. The Corporation has, however, amended § 2522.435 by adding a new paragraph (c) that explicitly identifies the cost-effectiveness indicators that do not apply to EAP programs.

Corporation Cost per MSY in the Selection Process

The proposed rule included, for the first time, Corporation cost per MSY as an indicator of cost-effectiveness. A few commenters noted that Corporation cost per MSY should be considered, but should not be the primary consideration. Many commenters read the proposed rule as making Corporation cost per MSY the paramount or ''tie-breaker'' criterion in the new selection criteria. This was not the Corporation's intent. The Corporation's goal in emphasizing its inclusion of Corporation cost per MSY in the criteria as one measure or indicator of cost-effectiveness was to give programs an incentive to lower their Corporation cost per MSY as one of many elements to be more competitive. The Corporation continues to view the cost per MSY as a key indicator of cost-effectiveness. Nonetheless, a program that has a higher Corporation cost per MSY that is justified in its application and that demonstrates cost efficiency in other ways under the cost-effectiveness criteria, could still score enough points in the cost-effectiveness category to be eligible for funding.

Five commenters found the proposed rule to be unrealistic in that it appears to value expanding program size and impact while, at the same time, decreasing funding. Several commenters recommended removing program growth and expansion from the selection criteria, given the emphasis on decreasing the Federal share of funding. The Corporation does not agree with this recommendation, as a program can show cost-effectiveness either by decreasing the Corporation share of costs *or* by growing in size without a commensurate growth in budget.

One commenter did not intrinsically have a concern with the increase in

emphasis in Corporation cost per MSY, but considered the determination of cost-effectiveness as subjective, and therefore suggested that each program be evaluated individually. While the Corporation will review programs together on panels of like programs, we do not score programs against each other, but rather each program individually against the selection criteria.

One commenter requested clarification of the terms ''deeper impact'' and ''broader reach'' as used in § 2522.435(a)(2)(iii) of the proposed rule (§ 2522.435(a)(1)(ii)(C) in the final rule). By ''deeper impact,'' the Corporation is looking for more pronounced outcomes that show the program is having a more beneficial impact on a static number of beneficiaries. By ''broader reach,'' the Corporation means outcomes that affect more beneficiaries in the community or affect a larger portion of the community with a static level of impact.

Individual Program Circumstances

Several commenters viewed the proposed rules as favoring low-cost programs over a program's quality and results. Some commenters were concerned that the criteria favor part-time programs over full-time programs. Other commenters viewed the selection criteria as favoring urban areas with more access to resources than rural areas. And yet another commenter was concerned that the rule did not adequately recognize or address the fact that different program models require different levels of Federal investment. Two commenters were concerned that the emphasis on cost-effectiveness will discourage innovative program designs, particularly those reaching hard-to-serve populations. Another commenter stated that the rule would threaten programs with at-risk members, because they require more resources than programs with college-educated members.

Sections 2522.430(b) and 2522.435(b) of the proposed rule indicated that, in assessing an organization's capability and the cost-effectiveness and budget adequacy of the proposed program, the Corporation would consider a variety of individual program circumstances that might put an applicant's proposal into context. The goal was to give the Corporation the opportunity to fully weigh the contributions and benefits, as well as the challenges that individual programs and organizations might face in competing under these criteria.

While the language in sections 2522.430(b) and 2522.435(b) remains unchanged, the Corporation reiterates here its commitment to considering cost-effectiveness in the context of all that the applicant proposes—including its level of innovation, its focus on areas with higher need, its program model, its contributions, and its challenges. The Corporation does not believe that there can be a ''one cost fits all'' approach in the AmeriCorps program; on the contrary, the Corporation recognizes the breadth and diversity of programs, service, community beneficiaries, and individual circumstances, and is committed to considering all of these when selecting programs. The Corporation will not replace high-quality and high-impact programs with low-cost programs that cannot meet the unmet needs in our communities.

Waiver Process and Impact on Selection

The proposed rule included two possible bases for waivers—one relating to the requirement to recruit or support volunteers; the other relating to match requirements. Several commenters expressed concern as to when applicants would apply for and receive waivers, and the impact those waivers would have on the selection process. Three commenters suggested that the Corporation address waiver requests before the applicant submits the full grant application, and three others asked how the waiver request would impact the selection process. Several commenters specifically recommended that waivers not affect grant scoring.

As discussed earlier in section VI(B) of this preamble, the Corporation intends to consider waivers of the requirement that programs recruit or support volunteers after the proposal has been reviewed, but prior to awarding the grant. Volunteer recruitment will also remain a competitive criterion in the grant selection process, regardless of the outcome on the waiver request.

An applicant requesting an alternative match requirement or a waiver of match due to lack of resources at the local level, must request a waiver before submitting its application for funding. This will enable applicants to include an appropriate budget with their grant application. Applicants applying through a State commission will be required to request waivers from the Corporation through the commission. The Corporation will address the process for obtaining a waiver in the applicable grant application instructions.

Considering Similar Program Models Together

In applying the selection criteria, the Corporation will ensure, to the maximum extent possible, that similar program models are evaluated together. This will help promote equity and fairness. One commenter strongly supported this approach. A different commenter requested a definition of ''similar program models.'' Another commenter asked the Corporation to clarify how it will consider programs together. As a general matter, the Corporation defines its different program models according to the list of statutory program models included in § 122(a) of the NCSA. When an organization applies to the Corporation, it must self-identify which program model best describes its proposal. To the extent practicable, the Corporation then groups programs together on review panels, first by program model, such as youth corps or professional corps, and then, if possible, by other factors such as program design (e.g., statewide initiative or intermediary), member model (e.g., individual placement or team-based), issue area (e.g., environment or tutoring) and geographic area to be served (e.g., urban or rural). The more applications the Corporation receives in a particular competition, the more focused each review panel can be. For example, in the 2004 competition, the review panels the Corporation used included a panel reviewing proposals from campus-based professional corps, one reviewing community corps statewide initiatives, and two panels looking at community corps team-based programs focused on independent living. In addition to looking at like-programs together, this process allows us to ensure that we fund a broad and diverse portfolio of programs.

Information Outside the Application (§ 2522.470)

The proposed rule described in detail relevant information outside of the grant application that the Corporation may consider in making grant decisions. A few commenters asked how the Corporation would consider each document in the selection process. Two commenters argued that considering supplemental documents would create an unlevel playing field and could ''appear to be an advantage to a more sophisticated sponsor, or, again, to discourage new small community-based organizations.'' One of these commenters recommended that, if the Corporation does consider additional documents, the Corporation should only use documents provided by the applicant and should clearly identify how the document will be scored. One commenter asked the Corporation whether the documents on this list will be used to supplement information in an application, or just to verify

information. Another commenter recommended that the Corporation clarify what information it will consider and the weight it will give to the information.

The Corporation will not supplement an applicant's proposal with information that is not included in the proposal except to clarify or verify information as described below—to do otherwise could create an unlevel playing field and would be contrary to the Corporation's practice that an applicant may not submit supplemental material after the application deadline. Nor will the Corporation score any additional information it may consider. The primary purpose for obtaining information outside the application is to clarify information that is included in the applicant's proposal and to verify assertions made in an applicant organization's proposal, including engaging in due diligence to ensure that the applicant organization can appropriately manage Federal funds. The Corporation will not lower an applicant's score, for example, based on the quality of its Web site—however, the information on the Web site may, in certain circumstances, clarify an organization's structure, shed light on an organization's history, or provide other information that validates data in the application. To clarify the Corporation's intent with respect to considering information outside of the grant application, the final rule includes specific language in § 2522.470(b) stating that the Corporation may consider this information only to clarify or verify information in an application, including engaging in due diligence.

In addition, the Corporation has pared down the list of information sources from 21 items to 11. Several of the individual items listed in the proposed rule have been subsumed into single broader categories. The Corporation removed the financial management survey from the list because the Corporation does not use the survey to make grant decisions. Rather, the Corporation uses it to assess the training and technical assistance that approved applicants may need to establish appropriate systems for managing Federal funds.

One of the information sources in the proposed rule was reports from the Corporation's Office of Inspector General (OIG). One commenter suggested that the Corporation only consider final OIG reports because issues raised in draft reports often are resolved before the IG issues its final report. The Corporation does not believe it should be precluded from considering any information the OIG might make available to the Corporation regarding prospective grantees, particularly information that might impact a prospective grantee's ability to manage Federal funds or operate an AmeriCorps program. Reports, whether draft or final, contain information that the Corporation may properly consider even before a final report is issued. However, we recognize that a final report might have more reliable information than a draft report, and we intend to give appropriate consideration based on the specific circumstances surrounding the report. The Corporation has amended the language in § 2522.470(b)(4) (2522.470(b)(6) in the proposed rule) to clarify that the Corporation may consider any internal agency information, including information from the OIG.

One commenter suggested that the Corporation replace the list of outside information with language that states that ''the Corporation conducts due diligence on prospective applicants,'' including examining ''financial and programmatic information as well as [an applicant's] previous experience operating Corporation programs as applicable.'' As discussed above, the Corporation has added language to the final rule that speaks to the Corporation using the information described as a part of conducting due diligence on applicants, but the Corporation believes that including a list provides more clarity and specificity than simply stating the Corporation will undertake due diligence activities.

If the Corporation denies an application for funding based on outside information that is at variance with information in the application, the Corporation will inform the applicant, through the Corporation's feedback process, of the specific information the Corporation considered.

Applicants Eligible for Special Consideration (§ 2522.450)

In the NPRM, the Corporation indicated that, after we apply the basic selection criteria, we may apply one or more of the Corporation's selection priorities. The NPRM also indicated that the Corporation may announce additional priorities in the Notice of Funding Availability (NOFA), or other notice to the public. Our intent, however, in codifying the selection priorities in these regulations was to provide transparency and baseline consistency for current and prospective grantees. The list of selection priorities in the proposed rule reflects several long-standing priorities as well as a smaller number of new priorities that we believe are appropriate.

Three commenters asked the Corporation to clearly identify how it will apply selection priorities or provide ''special consideration'' to programs under § 2522.450. One commenter was concerned that many programs address more than one program activity and recommended that the final rule reflect that. The Corporation's goal in giving special consideration to certain program models or activities is to ensure that our portfolio of programs includes, to the extent possible, a meaningful representation of programs addressing those priorities. In each competition, the number of proposals that receive special consideration will vary depending upon how many high-quality applications the Corporation receives that address the enumerated priorities. The Corporation has amended the language in the final rule to clarify that the Corporation may give special consideration to ensure that its portfolio of programs includes a meaningful representation of programs that address one or more of the enumerated priorities.

One commenter supported adding homeland security to the list of national priorities, as long as homeland security-related activities were not required for all programs. As stated above, the Corporation will ensure that its portfolio of programs includes a meaningful representation of programs that address homeland security, but is not requiring all programs to engage in homeland security activities, or any of the other activities included on the list for special consideration.

One commenter supported the inclusion of lower-cost professional corps programs (§ 2522.450(a)(2)) on the list for special consideration because it will encourage the development of more high-quality professional corps programs. Another person commented that States find it difficult to develop programs from community organizations, including faith-based organizations, because of the complicated application process and the lack of State resources to coach applicants through the process. Consequently, this commenter found the priority for such programs somewhat meaningless. The Corporation acknowledges that many community organizations may find the AmeriCorps structure and process challenging. Nonetheless, the Corporation hopes that special consideration for this group of applicants will encourage more such programs to accept this challenge and apply for funding. In addition, the special consideration for community organizations, including faith-based organizations, (§ 2522.450(a)(1))

includes both programs operated by these types of organizations, and programs that do not have these characteristics themselves, but that support the efforts of community organizations, including faith-based organizations, to solve local problems. This means that an intermediary, for example, that includes significant service or placements with community organizations, including faith-based organizations, would fall within this category of programs eligible for special consideration. The Corporation hopes that larger grantees will bring on as sites or sub-grantees other community organizations, including faith-based organizations, that are unable themselves to apply directly for funds.

One commenter noted that the proposed rule created a preference for faith-based organizations over secular organizations by providing special consideration to ''an organization of any size that is faith-based'' but limiting the analogous special consideration to only ''small community-based organizations.'' To avoid this, the Corporation has amended § 2522.450(a)(1) to remove the reference to ''small.'' The Corporation has also amended the language in this section of the final rule to refer to ''community organizations, including faith-based organizations,'' rather than ''faith-based and community-based organizations,'' as was used in the proposed rule.

One commenter opined that any religion-based criterion or preference in the grant selection process is unconstitutional and therefore should be eliminated from the final rule. Another commenter opposed faith-based organizations receiving a preference over secular programs because secular programs are more likely to be subject to non-discrimination laws. In including a priority for community organizations, including faith-based organizations, the Corporation is not carving out funding exclusively for faith-based organizations. Providing special consideration for community organizations, including faith-based organizations, is not including any religion-based criterion in the selection process—it is merely a way to ensure that the Corporation's portfolio includes a meaningful representation of programs operated by or reaching community organizations, including faith-based organizations. The Corporation has acknowledged that many community organizations may find the AmeriCorps structure and process challenging, and hopes that providing special consideration for this category of applicants may make it more worthwhile for this type of organization to apply for AmeriCorps funding.

One commenter recommended that special consideration be given to programs that address a State priority. Section 2522.460 of the proposed rule, mirrored in the final rule, addresses the circumstances under which the Corporation will give special consideration to programs that address a State priority, rather than one of the Corporation's priorities.

The Corporation has added ''disadvantaged youth'' to § 2522.450(b)(1) to better align that selection preference with the Corporation's strategic goal of addressing the needs of that population. In addition, the Corporation has added programs that will be conducted in rural communities and in severely economically-distressed communities to the list in § 2522.450(c) to reflect the Corporation's goal of expanding the presence of AmeriCorps in those communities. To align our selection criteria with the Corporation's strategic goals, the final list of programs eligible for special consideration includes programs that increase service and service-learning on higher education campuses in partnership with their surrounding communities, and programs that foster service opportunities for baby-boomers. Finally, the Corporation has more clearly defined in § 2522.450(b)(8) the types of community-development programs that may receive special consideration.

State Commission Rankings of Competitive Proposals (§ 2522.465)

The final rule mirrors the proposed rule in requiring State commissions to prioritize their State competitive proposals in rank order to help inform our selection process. The Corporation originally included this provision in response to State commission feedback that the Corporation sometimes did not fund proposals that a State considered its strongest or most competitive. The Corporation, however, had no way to know which proposals each State felt were most worthy of competitive funding and, thus, was unable to take that into consideration in the selection process.

The Corporation received several comments relating to this new requirement. One commenter strongly supported State rankings because States are in a better position to know the local needs than anyone else. On the other hand, two commenters opposed State rankings based on the increase in time and effort it will take at the State level, and the uncertainty of whether the Corporation will abide by the rankings. Several commenters expressed concern over the Corporation's lack of specificity about how and when the Corporation would use the rankings, and what criteria States should use in ranking the proposals.

The Corporation intentionally did not specify how States should go about ranking their proposals, in an effort to give maximum flexibility to each State to decide what is important to that State. The Corporation understands that each State may rank its proposals based on different criteria and different priorities. The Corporation expects States to rank their proposals based on the relative quality of the proposals. In providing the rankings, a State will have the ability to summarize the process and criteria it used in ranking its proposals.

With respect to how and when the Corporation will use the rankings, the proposed rule stated that the Corporation ''may consider'' them, and made clear that we would not necessarily be bound by them in making grant decisions. Again, the State rankings will not be determinative or definitive. However, the Corporation will use them as a way of checking against potential disparities in the peer review process to ensure appropriate treatment for a program that a State highly values. For example, if a proposal that a State has ranked very high scores very low in peer review, the Corporation may move that proposal to staff review to ensure that the peer review scores were, in fact, appropriate. If the staff review agreed with peer review, the proposal would not move forward, despite its top ranking from the State. The Corporation also plans to use the rankings towards the end of the selection process to assist us in determining the best funding package for each State. The Corporation does not believe it necessary to amend the regulatory language to reflect this. The only change in the final rule is to clarify that the Corporation ''will,'' rather than ''may'' consider rankings.

In the proposed rule, the Corporation indicated that we may, in the future, choose to limit the number of proposals any one State may submit for State competitive funding to streamline the selection process and make optimal use of outside peer review panels. One commenter opposed any such limitation. The Corporation notes that it has limited the number of proposals a State may submit in at least one past competition. The Corporation does not, however, intend to implement this limitation in the short-term, but reserves the right to do so in the future. If so, we will announce the limitation in the

appropriate NOFA or other funding announcement.

State Peer Review and Selection Processes (§ 2522.475)

In the proposed rule, the Corporation addressed questions about State commission peer review requirements and why the Corporation conducts peer reviews of proposals that State commissions may have already peer reviewed. Section 133(d)(4) of the NCSA requires the Corporation to ''establish panels of experts'' to review applications for funding for more than $250,000, and to consider the opinions of the panels prior to making grant decisions. Again, while the regulatory language does not specify this, the Corporation wishes to clarify that the Corporation does not require State commissions to peer review AmeriCorps State competitive proposals. The Corporation conducts peer reviews of competitive proposals at the national level to ensure equitable consideration of all applications and to comply with the NCSA. A State commission may be required, under State law, to peer review State competitive proposals, or it may choose to do so on its own. The Corporation does require State commissions to peer review their formula proposals to ensure compliance with the NCSA, as the Corporation never has the opportunity to peer review those proposals at a national level.

Two commenters strongly supported State commissions using peer reviews to decide which applications to propose for funding. One commenter suggested that if States are not required to conduct peer review processes, they will have to expend a great deal of energy to ensure fairness and objectivity in their selection process. Again, State commissions must peer review formula proposals and may use a peer review process for competitive proposals if they so choose. The Corporation recognizes that State commissions that peer review all the proposals they receive in selecting both their competitive and formula submissions, this leads to successive peer review of some applications. The Corporation, however, peer reviews all competitive proposals at the national level across all States so that we can establish a common review nationally, rather than State by State, and to comply with the statute.

In § 2522.475 of the proposed rule, the Corporation indicated that it ''does not require [commissions] to use the Corporation's selection criteria and priorities'' in selecting State formula grant programs or operating sites. One commenter strongly supported this policy. Two commenters, on the other hand, interpreted this language as inconsistent with the statutory requirement in 122 (b)(3) of the Act (42 U.S.C. 12572(b)(3)). These commenters read this section of the statute as requiring ''universal use of the selection criteria'' that the Corporation establishes for its own selection process. The NCSA does not support these commenters' interpretation. The section of the NCSA in question deals specifically with ''qualification criteria to determine eligibility'' for AmeriCorps grants—that is to say, who is eligible to apply—which is different from determining who ultimately is selected to receive a grant from the pool of eligible applicants. The NCSA requires each recipient of AmeriCorps funds to use the qualification or eligibility criteria that the Corporation establishes, but does not require States to use the selection criteria the Corporation develops for deciding to whom to award funds.

Note, however, that 133 of the NCSA does include a list of required criteria that both the Corporation and States must include among the selection criteria they develop. (42 U.S.C. 12585). The list includes the following required criteria: (1) The quality of the national service program proposed to be carried out; (2) the innovative aspects of the national service program, and the feasibility of replicating the program; (3) the sustainability of the national service program based on evidence such as the existence of strong and broad-based community support for the program and of multiple funding sources or private funding for the program; (4) the quality of the leadership of the national service program, the past performance of the program, and the extent to which the program builds on existing programs; (5) the extent to which participants of the national service program are recruited from among residents of the communities in which projects are to be conducted, and the extent to which participants and community residents are involved in the design, leadership, and operation of the program; (6) the extent to which projects would be conducted in one of the country's distressed and neediest areas; and (7) for non-State applicants, the extent to which the application is consistent with the State-wide service plan of the State in which the projects would be conducted. The Corporation has added this list of required criteria to § 2522.475. The Corporation has incorporated all of these criteria in its selection process for AmeriCorps grants, and States must do the same.

F. Corporation Cost per Member Service Year (MSY) (§ 2522.485)

In the proposed rule, the Corporation's goal was to strengthen the Corporation's basic selection criteria, and explicitly include a program's proposed Corporation cost per MSY as a key indicator of cost-effectiveness at § 2522.435. The proposed regulations also defined the Corporation cost per MSY as the budgeted grant costs divided by the number of MSYs awarded in the grant. The budgeted grant costs exclude: (1) Child-care for individual members, for which the Corporation pays directly; and (2) the education award a member may receive from the National Service Trust after successfully completing a term of service.

One commenter felt that using the term ''budgeted grant costs'' could be read to include both the Corporation's share of budgeted grant costs as well as the grantee's share. The commenter suggested that the Corporation amend this section to specify that we are referring to ''the Corporation's share of budgeted grant costs.'' The Corporation agrees with this comment and has made this change in § 2522.485 of the final rule.

As stated in the proposed rule, the Corporation will announce annually any changes in the maximum program Corporation cost per MSY. Several commenters recommended that the mandated cost of living increase be indexed with corresponding increases in the Corporation cost per MSY. Two commenters suggested that organizations be allowed to apply for an increase in funding not just for the living allowance increases, but also increases in health care expenses. One commenter recommended that the Corporation grant exceptions in the maximum Corporation cost per MSY for programs incurring exceptionally high costs for members in States with high workers' compensation premiums. In response, we note that the Corporation does not address Corporation cost per MSY by waiver; rather, we negotiate the Corporation cost per MSY for each program before awarding a grant. The Corporation sets a maximum Corporation cost per MSY for State programs to accommodate programs with inherently higher costs that make it difficult for them to meet the average Corporation cost per MSY. National Direct grantees have the ability to balance higher cost sites with lower cost sites to stay within their maximum Corporation cost per MSY. With rare exceptions, the Corporation does not believe it should fund programs whose

Corporation cost per MSY exceeds the maximum Corporation cost per MSY. That said, the Corporation does reassess annually the maximum Corporation cost per MSY for individual AmeriCorps State programs and the maximum average Corporation cost per MSY, and makes adjustments as necessary and appropriate.

We anticipate that making Corporation cost per MSY a competitive factor and gradually decreasing the Federal share of grantee costs through our sustainability efforts will, over time, create sufficient and optimum downward pressure on Corporation costs, both at the individual program level and within State portfolios, and is, ultimately, more appropriate than arbitrary maximum and maximum averages. In the short term, however, the Corporation will review annually the maximum Corporation cost per MSY and maximum average Corporation cost per MSY and consider granting a continuation or recompeting program's request to increase its Corporation cost per MSY by an amount not to exceed the statutorily-required percentage increase in its previous year's AmeriCorps member living allowance. (42 U.S.C. 12594(a)). However, the Corporation cannot, by rule, automatically index the Corporation cost per MSY to increases in the living allowance and other fixed costs, given the unpredictability of the annual appropriations process.

One commenter was concerned that the regulatory language itself did not articulate the Corporation's intent to consider increases in the allowable cost per MSY. The regulatory language establishes how an organization calculates its Corporation cost per MSY. The Corporation does not set a maximum in the regulation and, therefore, does not need to include any language about increases to the maximum.

As stated above and in the proposed rule, the Corporation will continue to hold State commissions to a maximum average, and direct grantees to a maximum Corporation cost per MSY. State commissions will calculate their portfolio's average Corporation cost per MSY by dividing the Corporation's share of the budgeted grant costs for all their AmeriCorps programs (including EAP and planning grants) by the number of member MSYs awarded across their portfolio of AmeriCorps programs. The budgeted grant costs do not include child-care for individual members, the education award a member receives from the National Service Trust for fulfilling a term of service, or non-program grant funds such as a State commission's administrative grant, disability, or Program Development and Training (PDAT) funds. We encourage State commissions to use the Education Award and Professional Corps programs and national direct grantees to use ''education award only'' positions within their overall national direct grant as a way to lower their average Corporation cost per MSY, while maintaining high-quality programs.

One commenter asked the Corporation to allow States to receive a fixed number of Education Award Program slots annually for them to award through their State formula process. The Corporation does not believe that dividing up the allocation of Education Award Program positions among all State commissions would be a good use of these resources at this time. In addition, Federal policy is that grants should be made on a competitive basis. The NCSA authorizes the Corporation to award formula funds and corresponding AmeriCorps positions non-competitively, but we have no similar congressional directive for Education Award Program positions and grant funds. The Corporation believes that this is a matter best addressed through authorizing legislation, rather than regulation.

In the proposed rule, the Corporation discussed the possibility of excluding planning grants from a State's calculation of its average Corporation cost per MSY. Currently, the average Corporation cost per MSY for each commission includes the formula funds they use for planning grants. Some of the input the Corporation received prior to publishing the proposed rule for comment suggested that the Corporation give States more leeway to use planning grants to foster new AmeriCorps programs by taking the cost of planning grants out of the average Corporation cost per MSY calculation for each commission. Many commenters strongly supported the idea of excluding planning grants from the calculation of program costs. As indicated in the proposed rule, the Corporation plans to study the budgetary implications of this approach over the coming year. However, we are unable to implement this measure at this time given current budget constraints.

One commenter suggested that national direct grantees be allowed to exclude funds they use to train their members from their Corporation cost per MSY calculation, in the same way that State commission PDAT funds are excluded from the commission's average Corporation cost per MSY. This commenter also suggested that grantees be allowed to exclude the costs required for in-depth program evaluation from the cost per MSY calculation. With respect to training funds, it would not be appropriate to exclude them from a national direct grantee's cost per MSY for several reasons. First, national directs often benefit from State PDAT allocations because each commission is strongly encouraged to include national direct grantees in any program development and training activities they conduct at the State level. In addition, while commissions do not include PDAT in their Corporation cost per MSY, their AmeriCorps program grants include training funds for programs, which are included in the Corporation cost per MSY calculation. Finally, the Corporation views PDAT funds as more similar to a commission's administrative grant than to program funds for purposes of calculating the commission's Corporation cost per MSY.

In response to a commenter's suggestion that evaluation costs be excluded from a program's Corporation cost per MSY, the Corporation does not agree. Evaluation is a program requirement and an essential cost of operating a successful program. The Corporation will take into account the impact of evaluation costs on a program's Corporation cost per MSY when applying the cost-effectiveness criteria in the selection process.

The Corporation will announce on its website at *www.nationalservice.gov* the annual maximum average Corporation cost per MSY for State commissions and the maximum Corporation cost per MSY for national directs. For the 2005 program year, the maximum average Corporation cost per MSY for State commissions and the maximum Corporation cost per MSY for national directs will remain at the current level of $12,400. The Corporation recognizes that the member living allowance may increase and we will review the maximum average cost per MSY annually with this and other changes to program costs, and our sustainability goals, in mind.

While we acknowledge that cost per MSY may be defined in several different ways, our methodology is intended primarily to enable grantees and subgrantees to manage Corporation costs at the program and State commission level, and to estimate the projected costs of proposed programs.

G. Performance Measures and Evaluation (§§ 2522.500 Through 2522.740)

The Corporation is continuing to build on the progress we have made in

demonstrating results, both to ensure that the Corporation continues to demonstrate the true impact of national service, and that programs continue to improve, as well as to fulfill the expectations laid out in the Government Performance Results Act of 1993, the Administration's Program Assessment Rating Tool (or PART), and Executive Order 13331 on National and Community Service Programs. The proposed rule codified the Corporation's current requirements for performance measurement, focused independent evaluation requirements on large grantees, and generally reflected current Corporation practice. In addition, the proposed rule described the relationship between performance measures, evaluations, and funding decisions. The Corporation believes that a stronger emphasis on performance measurement and evaluation will strengthen AmeriCorps programs and foster continuous improvement. In line with E.O. 13331, emphasizing performance measures and evaluation will also help us identify both best practices and models that merit replication, as well as programmatic weaknesses that can be corrected most effectively when identified early.

The proposed rule distinguished performance measurement from program evaluation, while making explicit that grant funds used to pay for either activity are not considered ''administrative costs'' or subject to the 5 percent statutory cap on administrative costs. A grantee would be allowed to use grant funds to pay for performance measurement and evaluation up to the approved amounts for such activities in its grant. These provisions remain largely unchanged in the final rule.

Several commenters viewed the proposed rule as increasing performance measures and the burden on grantees. While the proposed rule and final rule emphasize performance measures, neither the proposed rule, nor the final rule, is intended to increase the burden on grantees. The final rule generally codifies existing Corporation policy in this area.

One commenter was concerned that the Corporation does not use the data it collects for any type of national reporting. One of the Corporation's goals is to identify the best way to report the data that the Corporation collects to our grantees and the public. Currently, individual program officers use this information to assist in managing the grants and directing programs to the appropriate resources, as well as to assess program impact and effectiveness. The Corporation provides information to the public using the data submitted by grantees and programs in the Corporation's annual Performance and Accountability Report (*www.cns.gov/about/reports.html*). Also, the State Profiles and Performance Report presents performance results achieved by the Corporation's national and community service programs (*www.cns.gov/pdf/research/CNCS-PerformanceReport-Ind.pdf*). This recently released report is the first report offering comprehensive performance data by State and program. Finally, the Corporation is in the process of redesigning its Web site so that members of the public and grantees can more easily negotiate the site and locate pertinent information and reports. The Corporation views this as an ongoing process of increasing the availability and transparency in our reporting of performance data. The Corporation will continue to collaborate with grantees to make better use of data and to ensure that a key benefit of all reporting is the opportunity to see data reflected back in broader context.

One commenter opposed the Corporation's performance measures requirement because, in this commenter's opinion, they have made applying for AmeriCorps funds more confusing and have increased the complexity and detail of reporting. This commenter recommended returning to simple objectives or using simplified performance measures.

The Federal government, as a whole, is moving towards performance measurement and reporting on outcomes. The Corporation does not believe that the previous system of reporting on objectives provided enough detail or substance to show the true impact national service has in our communities across the nation.

Defining Performance Measurement, Outputs, and Outcomes

In sections 2522.520, 2522.570, and 2522.700 of the proposed rule, the Corporation defined the terms performance measurement, output indicators, intermediate-outcome indicators, and end-outcome indicators. One commenter found the use of the word ''indicator'' in these definitions misleading, given that the rest of the rule does not refer to indicators, and suggested that the Corporation resolve the mismatch in the final rule. Another commenter suggested that the final rule broaden the definitions to include references to community changes in addition to changes in the lives of community beneficiaries. The Corporation agrees with both these comments, and has (1) removed the word indicator from the above-referenced sections, and (2) broadened the language of the definitions in the above-referenced sections to include changes to the community.

National Performance Measures (§ 2522.590(b))

While the proposed rule allowed an applicant organization to propose and negotiate performance measures unique to the applicant's program, the rule also provided that the Corporation would establish one or more national performance measures on which all grantees would have to report. The proposed rule indicated that the Corporation would establish a national performance measure on volunteer leveraging, may establish performance measures of member satisfaction, and will develop any national standardized performance measures in consultation with AmeriCorps grantees.

In general, most commenters supported the concept of developing national performance measures for all programs. However, several commenters noted potential concerns, such as the ability of these national measures to reflect the diversity of programs and approaches, the ability of programs to set their own measure of how well they are meeting needs in their communities, the need to preserve creativity and innovation of local programs, and the potential for programs to be redesigned to fit a certain model based on the national performance measures, rather than being designed to meet community needs. Several commenters suggested that the Corporation consult with grantees in developing any national performance measures.

The Corporation does intend, as stated in the proposed rule, to develop a limited number of national measures applicable to all (or most) programs, such as the number of community volunteers leveraged, hours served by community volunteers, and member-related measures, in addition to the program-nominated national performance measures. The Corporation also plans to develop other standard national measures that might apply only to particular types of programs or activities. The Corporation's goal in doing this will be to diminish the burden on grantees to develop measures in these areas, and to provide the Corporation with consistent measures on which to report at the national level. This process of developing national outcome measures for all programs to reflect their impact on communities or the lives of service recipients is a long-term project, given the diversity of programs and issue areas. Even within

a single issue area, such as youth development or environment, the diversity of programs addressing different needs and interests makes it challenging to develop uniform outcome measures at the national level without significant dialogue with State commissions and our other service partners. Finally, the Corporation notes that national measures will not replace the need for or the ability of programs to show progress in areas of local concern through program-nominated measures. The Corporation intends, as reflected in the proposed rule, to engage the field in developing any national performance measures, through an open public process, and plans to finalize member-related national measures within 18 months of publication of this final rule. The Corporation will continue to dialogue with the field in developing these and other national measures over the coming months and years. The Corporation, does not, however, see a need to change the language in § 2522.590(b) of the proposed rule.

Measuring Performance of the ''Primary'' Service Activity (§ 2522.580)

Section § 2522.580(b) and (c) of the proposed rule stated that performance measures need not cover the scope of an entire program, but should give a clear indication of a program's primary purpose and objectives. Section 2522.580(c) also required programs to include at least one end-outcome measure that captures the results of the *program's primary activity*.

Several commenters noted that their programs, mostly intermediary models, do not have a primary activity, but rather engage in many different activities in different issue areas. One commenter suggested that the rule define the elements of an intermediary program and accept performance measures that speak to an intermediary's overall goal. Another commenter recommended embracing the overall goal of the intermediary program to allow programs to collect performance measurement across service activities focused on areas such as large-scale capacity building.

If at all possible, intermediaries should report on the activities of their operating sites or subgrantees. We recognize, however, that in some cases this is not feasible. If it is not possible for an intermediary to identify a primary or significant area of activity, the Corporation is open to considering other measures that relate specifically to the overall mission and focus of the intermediary organization itself. For example, an intermediary organization with members placed at multiple unaffiliated sites, through which members participate in many different activities in many different communities, might be able to submit a measure relating to the extent to which the intermediary is building the capacity of grass-roots organizations to serve their communities. For another program in which members engage in many different activities, the program may nonetheless be able to identify one activity that makes up a significant part of the program's service activities, and report an end-outcome on that activity. To clarify our intent in this regard, the Corporation has incorporated what was paragraph (c) of § 2522.580 in the proposed rule into paragraph (a)(1) of that section, and changed the language to capture the results of ''the program's primary activity, or area of significant activity for programs whose design precludes identifying a primary activity.''

The Corporation is also modifying the requirement that only an end-outcome capture the program's primary activity or area of significant activity. The Corporation has concluded that, as a general matter, a program would likely need to start with an output and an intermediate outcome, in order to be able to report on an end outcome. Furthermore, the Corporation has an interest in seeing at least one set of performance data on a program's primary activity or area of significant activity. Consequently, the final rule requires that grantees submit at least one set of aligned measures (described in more detail below), rather than just an end-outcome, on the program's primary activity or area of significant activity. Programs should note that, in addition to the minimum requirements, they may submit additional relevant measures of their performance in other issue areas.

One commenter opined that end outcomes, in general, are not reasonable in AmeriCorps because of the annual turnover of members. This commenter recommended that the Corporation not require end outcomes. The Corporation has made available guidance and technical assistance materials to the field on how programs can achieve end-outcomes, not within a member service year, but within the grant period (See *www.nationalservice.gov/resources* for information on toolkits, available Corporation assistance, and helpful websites.) While programs may not be able to achieve some end-outcomes, such as preventing air pollution, they can achieve measurable results. Youth development and education programs can assess improvements in achievement and behavior of youth tutored and mentored, environmental programs can measure changes in water pollution and improvements in lands and trails, and programs designed to develop members can achieve outcomes such as members obtaining GEDs, developing specific skills, or entering careers based on their program experience. Logic models can be very helpful tools in helping programs to identify clear and measurable outcomes and understand the steps along the way in achieving their goals, each of which can be measured and used as performance measures.

Aligning Performance Measures (§ 2522.580)

Section § 2522.580(d) of the proposed rule required programs to choose at least one set of performance measures that are aligned with one another. For example, a tutoring program might use the following aligned performance measures: (1) Output: Number of students participating in a tutoring program; (2) Intermediate Outcome: Percent of students reading more books; and (3) End Outcome: Average increase in reading level or test scores. The Corporation included this requirement to allow both service programs and Corporation staff to understand the logical connections between each step in the chain from program activity to program performance and results. As discussed above, the final rule in § 2522.580(a)(1) requires that the one required set of aligned performance measures must capture the program's primary activity or area of significant activity. The Corporation believes that this will provide a clearer picture of the extent to which programs are demonstrating results.

Several commenters noted that their programs engage in many different activities in different issue areas, and, therefore, want to submit measures in several areas rather than just one set of aligned measures in only one area. Several commenters appeared to read the provision as requiring all the performance measures of a program to be aligned and speak to the same priority—for example, if a program chooses one set of performance measures on tutoring, all its performance measures must relate to tutoring and tutoring activities. One commenter suggested revising the language to clarify that one set of aligned performance measures is the minimum requirement, but that any additional performance measures that a program submits need not be aligned.

The Corporation believes that it is important for a program to identify the

the impact and effectiveness of program models nationally. Another State commission suggested that the Corporation work with State commissions to perform statewide evaluations. This commenter agreed that evaluations are important for all programs, big and small, and therefore recommended requiring evaluations for all programs. Another commenter recommended funding ''statewide and or national evaluations that are both cost-effective and provide potentially broader analysis and impact data.'' Another commenter recommended that the Corporation either provide programs the tools to conduct internal evaluations, or provide funding to offset the cost of external evaluations.

The Corporation intends to work cooperatively with grantees and other interested parties with a goal of seeking input on one or more strategies like those suggested in the comments, including, potentially, national Corporation-administered evaluations, statewide evaluations, and the development of evaluation tools and guidelines for grantees to use in performing internal evaluations. The Corporation will offer sufficient opportunity to grantees and other interested parties to provide input. In the meantime, however, the Corporation is maintaining, in this final rule, the requirement from the proposed rule that any grantee that receives an average annual grant of $500,000 or more must arrange for an independent evaluation. In anticipation of other potential evaluation strategies, however, the final rule also includes language from the NCSA that requires grantees to cooperate with requests for information for any national evaluation that the Corporation or one of its providers may conduct. The Corporation will consider relieving grantees of the requirement to conduct an evaluation if a grantee participates in national or statewide evaluations, or uses the evaluation tools the Corporation develops.

One commenter requested clarification on whether the threshold for independent evaluation is the total program budget or the Corporation share only. As stated above, the independent evaluation requirement applies to any grantee that receives an average annual grant of $500,000 or more—in this specific context, the term ''grant'' refers to the amount the Corporation provides in grant funds, not the total program revenues from other sources. The final rule refers to the ''Corporation'' program grant to make this point clear.

Independent Evaluation (§ 2522.700)

In defining evaluation in the proposed rule, the Corporation referred to evaluation as using scientifically-based research methods to assess the effectiveness of programs by comparing the observed program outcomes with what would have happened in the absence of the program. The proposed rule intended to include random assignment as one example of a scientifically-based research method, but erroneously made it appear like random assignment was the only type of method the Corporation would allow. The Corporation received many comments opposing the requirement of random assignment evaluations, and other comments requesting that we more clearly define ''scientifically-based'' to include other methods of evaluation other than random assignment. To avoid any confusion, the Corporation has amended the final rule to remove the reference to random assignment methods. This should make clear that a program may use any appropriate scientifically-based evaluation method it chooses.

Scientifically-based research can be broadly defined as using appropriate research design, methods, and techniques to ensure that the methods used can reliably address the research questions and support the conclusions. Scientifically based research describes research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to activities and programs.

When organizations are attempting to determine whether there is a causal relationship between their programs and observed outcomes, or whether a program caused a change for participants, they will need to employ an experimental or quasi-experimental design or demonstrate how their study design will allow them to determine causality. One of the key characteristics of experimental designs is random assignment of persons or entities to treatment (or experimental) and control (or comparison) conditions. For example, participants in the treatment condition may receive benefits or services, while participants in the control condition do not. This random assignment of persons to conditions should equalize preexisting differences between the two groups so that differences observed between the groups can be attributed to the program. If random assignment is not possible, then quasi-experimental designs can be employed. These designs rely on identifying appropriate comparison groups, and may even take measurements at two or more points in time or include multiple comparisons in order to rule out or reduce threats to validity or alternative explanations for differences between the experimental and comparison groups.

Making comparisons to similar individuals not receiving services, whether through an experimental or quasi-experimental design, is an important part of ensuring the observed program effects are attributable to the programs and not to other factors. Comparison groups can be identified in several ways, including direct methods such as collecting information for similar individuals and communities not being served, and indirect methods such as using local, regional or national data or information available from federal, State and local agencies and private and nonprofit organizations. In the absence of comparison data, programs are limited in their capacity to demonstrate the added value of their program for the individuals and communities they serve.

For example, a tutoring program that is not able to serve all of the eligible students due to excess demand may be able to randomly select students to participate in the program. If random assignment is not feasible, the program may use a quasi-experimental approach to compare the achievement or literacy scores of the students served with those of similar students in nearby communities and schools. Alternatively, the program may compare students to benchmark information reported by local schools, school districts, or even State and national data on education achievement. A program may be able to successfully assess program results by comparing the achievement of the students they serve at multiple points in time (baseline, during the program, at the end of the program) against an appropriate comparison benchmarks. While not as rigorous as a random assignment design, quasi-experimental comparison group designs can provide reliable evidence of program effectiveness.

One commenter opposed the requirement that programs be evaluated in depth against a similar population that does not receive the benefits or services of the AmeriCorps program. This commenter believed that such a group is hard to find, and that data gathering would be difficult and error-prone. The Corporation disagrees. As discussed above, making comparisons to similar individuals not receiving services is an important part of ensuring the observed program effects are attributable to the programs and not to

other factors. Many programs attempt to create changes in individuals and communities, but can not provide evidence that any observed changes are due to the program. For example, because children learn and develop over time, youth development and education programs need to be able to measure the effects of their programs and compare them against the learning and development that occurs in other children. Comparisons can be identified in several ways, including direct methods such as collecting information from similar individuals or communities not being served, and indirect methods such as using local, regional or national data and information available from federal, State and local agencies, and private and nonprofit organizations. In the absence of comparison data, programs are limited in their ability to demonstrate the added value of their program for the individuals and communities they serve.

Evaluation Requirements for Smaller Grantees

In the proposed rule, the Corporation encouraged (but did not require) grantees who receive under $500,000 in grant funds per year, to perform independent evaluations and indicated that the Corporation would consider the results of these evaluations when making decisions on an organization's application for funds. Several commenters found the term ''encourage'' ambiguous and felt it created a de facto requirement. At least one commenter suggested that the Corporation remove that requirement. One commenter suggested that the rule either (1) require only that programs ''show improvement'', but not necessarily a scientifically-based evaluation, or (2) permit programs to submit information for statewide evaluation.

The Corporation continues to believe that independent evaluations are intrinsically stronger and, often, more useful, than internal evaluations. That being said, the Corporation has removed the language encouraging smaller grantees to arrange for independent evaluations. The Corporation does believe that all effective programs need to continuously improve their results for both participants and the people they serve, and therefore expects all grantees to perform some type of evaluation as part of their programs, in accordance with the NCSA. Consequently, the Corporation is including in the final rule the statutory minimum requirement of an internal evaluation for smaller grantees.

Five-Year Timetable for Evaluations

At least one commenter found the proposed rule unclear on when a grantee will be expected to produce an evaluation. The Corporation is removing the requirement that an evaluation be conducted every 5 years. Rather, the Corporation will require each grantee to submit a summary of its evaluation plan with its first recompete application following the effective date of this provision, and the full evaluation results with its second recompete application for funding. For example, if a current grantee recompetes for funding in 2006, it will be required to submit with its application a summary of its evaluation plan or progress to date. If the grantee again recompetes for funding in 2009, it will have to submit the completed evaluation with its recompete application at that time. The evaluation must cover a minimum of one year, but may cover longer periods. This applies for both internal and independent evaluations.

Consideration of Evaluations in Selection Process

The proposed rule stated that the Corporation will consider in the grant selection process the results of any evaluation a grantee submits. One commenter strongly recommended that external professional evaluators review the evaluations that grantees submit, particularly if the evaluations will have a major impact on future funding. The Corporation agrees that this is a promising idea and will consider it in the future, funding permitting. The Corporation will use an evaluation that a grantee submits to inform our consideration of the selection criteria. The evaluation itself will not receive any score in the selection process.

Costs of Evaluation

Two commenters asserted that the independent evaluation requirement for large programs is an unfunded Federal mandate, through which the Corporation is forcing a program to decide how to pay for program evaluation for Corporation program operations. Several commenters noted that the independent evaluation requirement for large programs is an undue burden on those programs as compared with smaller programs. These commenters also noted that the requirement would increase the costs and Corporation cost per MSY for larger programs. Another commenter noted that, while evaluation is important, it is costly and will likely lead to programs cutting costs on other quality elements of the program. This commenter, therefore, recommended that the Corporation bear the costs of evaluations beyond each program's budget, and that this cost not be counted in the total Corporation cost per MSY or operational costs of the program. Several commenters recommended that the Corporation pay for evaluation costs, or at the very least a percentage of evaluation costs for each program. As discussed earlier, the Corporation does not believe it appropriate to exclude evaluation costs from a program's Corporation cost per MSY. The Corporation will, however, consider the impact of evaluation costs on a program's Corporation cost per MSY in the context of applying the cost-effectiveness criteria in the grant selection process.

H. Qualifications for Members Serving as Reading Tutors and Requirements for Tutoring Programs (§§ 2522.900 Through 2522.950)

E.O. 13331 directs that school-based national and community service programs ''should employ tutors who meet required paraprofessional qualifications, and use such practices and methodologies as are required for supplemental educational services.'' The Corporation believes strongly that it is important to maintain consistency with the balance struck by the No Child Left Behind Act (NCLBA), which, on the one hand ensures that children who need tutoring are receiving the best possible support, and, on the other hand ensures AmeriCorps' continued support for our education system.

We therefore also strongly believe that these rules should not create burdens on AmeriCorps members and programs that are not already imposed by the NCLBA. Thousands of AmeriCorps members are providing invaluable support to children through a range of activities that the NCLBA has specifically exempted from coverage. To be consistent with the NCLBA, in setting tutor qualifications in the proposed rule, we narrowly defined ''tutor'' to include only individuals whose primary goal is to increase academic achievement in core subjects through planned, consistent, one-to-one or small-group activities and sessions, that build on students' academic strengths and target students' academic needs. We did not intend to establish qualifications for AmeriCorps members who engage in other school-related support activities, such as homework help provided as part of a safe-place-after-school program.

The proposed rule also confirmed that the qualification requirements for tutors and other paraprofessionals under the NCLBA apply to tutors who are

employees of the Local Education Agency (LEA) or school, as determined by the State, but do not apply to AmeriCorps members serving as tutors under the sponsorship of an organization other than the school district.

Under the NCLBA, paraprofessionals (including tutors) who provide instructional support in Title I schools must have a secondary school diploma or its equivalent and must have: (a) Completed two years of study at an institution of higher education; or (b) Obtained an associate's or higher degree; or (c) Met a rigorous standard of quality and be able to demonstrate the appropriate and relevant job skills through a formal State or local academic assessment. For a member serving as a tutor, *other than one employed by the LEA or school,* the proposed rule required either that the member has a high school diploma (or its equivalent), or that the member passes a proficiency test that the grantee has determined effective in ensuring that the member has the necessary skills to serve as a tutor. A member serving as a tutor would also have to successfully complete any pre- and in-service specialized training required by the program.

In addition, the proposed rule required tutoring programs to show competency to provide tutoring service through their recruitment, specialized training, performance measures, and supervision.

AmeriCorps Members as ''employees'' and Application of the NCLBA

Many commenters expressed concern over the characterization of AmeriCorps members as ''employees'' of, or ''hired by'' the LEA or school, particularly given that the NCSA specifically states that members are not to be considered employees of the programs with which they serve. Some of the commenters were concerned that identifying members in this way could bring them under the auspices of other employment and labor laws such as those dealing with minimum wage.

The Corporation used this terminology because that is how the U.S. Department of Education has characterized the distinction between those AmeriCorps members who will be covered by the NCLBA and those who will not. In its regulations implementing the NCLBA, the U.S. Department of Education defines a covered paraprofessional as any paraprofessional ''hired by the LEA''. 34 CFR 200.58(a)(1)). In subsequent guidance on implementation of its rules, the Department of Education specifically addressed the application of NCLBA paraprofessional requirements to AmeriCorps members working in schools as follows:

> The National and Community Service Act states that AmeriCorps volunteers are not considered employees of the entities where they are placed (42 U.S.C. 12511 (17B)). Unless AmeriCorps volunteers are considered employees of a school district under State law, the paraprofessional requirements in section 1119 (see items B–1 and B–5) do not apply. U.S. Department of Education, Title I Paraprofessionals, Non-Regulatory Guidance, March 1, 2004.

Whether an AmeriCorps member is considered an employee under State law is a State law question, and not a Corporation determination. Over the years, there have been occasions when a particular State considered AmeriCorps members serving in that State to be employees for some purposes, such as minimum wage and overtime, or unemployment insurance. To the Corporation's knowledge, however, no State currently considers AmeriCorps members serving in schools to be employees for purposes of the NCLBA. In light of the confusion caused by the proposed rule, however, the Corporation is amending the language in this final rule to make clear that only those members considered to be hired by the LEA or school *under State law* must comply with NCLBA paraprofessional requirements.

Several commenters interpreted the proposed rule as extending NCLBA coverage and its requirements to AmeriCorps members who are not currently covered under that law. This was not the Corporation's intent. The Corporation's intent was simply to reiterate the current U.S. Department of Education rules on which AmeriCorps members may be subject to NCLBA. The Corporation is not imposing NCLBA requirements beyond what the U.S. Department of Education already requires.

Grantees should note that the NCLBA paraprofessional requirements apply to any individual who meets the definition of paraprofessional, including tutors. Again, the Corporation would expect grantees to determine whether its AmeriCorps members are covered paraprofessionals under the NCLBA and, therefore, subject to NCLBA requirements. If they are not covered paraprofessionals subject to NCLBA requirements, the grantee must then determine whether they are tutors, as defined in this rule, and therefore subject to the qualifications established by this rule.

One commenter indicated that at least six States have opted out of the NCLBA and sixteen more have pending legislation to opt out. As stated above, this rule will not impose NCLBA requirements where they are not already applicable. States that have opted out of NCLBA requirements by choosing not to receive Title I Federal education funds will have only to ensure that any members serving as tutors, as defined in this regulation, meet the qualifications established by this regulation—*i.e.* a high-school diploma or its equivalent, or successful completion of a proficiency test—and provide training and supervision as required in this regulation.

Definition of ''Tutoring''

As discussed above, the proposed rule narrowly defined ''tutor'' to include only individuals whose primary goal is to increase academic achievement in reading or other core subjects through planned, consistent, one-to-one or small-group activities and sessions, that build on students' academic strengths and target students' academic needs.

One commenter recommended that the Corporation clarify whether the definition of tutoring applies only in the K–12 years, or whether it would apply to a member ''tutoring'' pre-school children. Another commenter sought clarification on whether tutoring, as defined, in this regulation included adult-learning. The Corporation's intent, in this regulation, was to impose requirements on tutoring that occurs during the K–12 school years, as a parallel requirement to the NCLBA. We did not intend to extend the tutor qualification requirements to activities involving pre-kindergarten students or adults. Consequently, the Corporation has amended the regulation to make clear that tutoring in this regulation relates only to children in grades kindergarten through twelfth.

AmeriCorps Tutor Qualifications

As discussed above, for a member serving as a tutor, *other than one employed by the LEA or school* as determined by State law, the proposed rule required either that the member has a high school diploma (or its equivalent), or that the member pass a proficiency test that the grantee has determined effective in ensuring that the member has the necessary skills to serve as a tutor. A member serving as a tutor would also have to successfully complete any pre- and in-service specialized training required by the program and screening requirements.

Two commenters found the proposed rules for tutor qualifications acceptable, and one of the two thought the increased qualifications would be

beneficial. One commenter commended the proposed rule because it established necessary standards and provided the flexibility for programs to test proficiencies appropriate for the local population and educational priorities. One commenter supported the rule as applied to non-profits and noted its importance in that it resolves issues raised by the NCLBA. On the other hand, one commenter criticized the rule as ''unnecessary and burdensome,'' and unbeneficial for innovative programs designed to meet community needs. Fifteen commenters expressed concern that they would not be able to recruit sufficient numbers of tutors who qualify under the proposed rule. Many commenters were in favor of some training and education requirements for tutors, but disagreed with the standards in the proposed rule. Some commenters believed that their tutoring programs are already successful with the tutors they currently recruit, train, test, and supervise, and therefore did not see the need for additional Corporation requirements. One commenter was concerned that this rule would lead to different member qualifications for tutors ''hired by LEAs'' versus those ''hired by'' non-profits. As discussed above, under current law and in the absence of an AmeriCorps regulation, there are already different standards for tutors considered by State law to be ''hired by the LEAs'' than other AmeriCorps tutors, as only those ''hired by the LEAs'' are subject to the paraprofessional requirements under the NCLBA. The Corporation is merely imposing some additional limited qualifications requirements on the group of tutors not covered by the NCLBA.

One commenter was also concerned about having different requirements for tutors depending upon the State law where the members were serving, and the impact that would have on multi-State programs. In the Corporation's view, this is no different than any issue that might vary for multi-State programs depending upon State law. For example, some States cover AmeriCorps members under unemployment insurance laws, while others do not; some States cover members under workers' compensation, while others do not. Any multi-State program with members serving in States covered by different laws has to deal with members potentially being treated one way in one State and another way in a different State. The application of the NCLBA on a State-by-State basis is no different.

One commenter expressed concern over the increased training costs necessary to meet the new training requirements for members serving as tutors. The Corporation is aware that programs will need assistance in ensuring that tutors receive appropriate training and this issue will be part of our training and technical assistance strategy in the coming year.

Four commenters recommended that the current standards for tutors be maintained. One of these commenters supported requiring the high-school diploma or its equivalent, and successful completion of pre- and in-service training, but no proficiency test. One commenter recommended revising the rule to permit ''qualified AmeriCorps members [to serve] as tutors without the requirement for specific levels of education or expensive competency tests.'' In fact, the vast majority of AmeriCorps members have a high-school diploma or its equivalent before they begin serving. So no proficiency test will be necessary for most AmeriCorps members serving as tutors. The Corporation did not, however, want to limit the ability to tutor only to those with a high-school diploma or its equivalent, as we understand that some programs have members serving who do not have a high-school diploma or its equivalent but who, nonetheless, are competent tutors. Our intent was to ensure a minimum standard that all tutors must meet, while leaving flexibility to programs to engage as tutors individuals who would not qualify under a ''high-school diploma or its equivalent'' standard. We believe that the proficiency test accomplishes the goal of establishing this minimum requirement for the small number of members who may not have a high-school diploma or its equivalent. (We note that the equivalent of a high-school diploma includes more than just a GED, and we have included a technical amendment to the final rule in § 2510.20 to reflect the definition of recognized equivalent of a high-school diploma.)

One commenter questioned which proficiency test programs should use to qualify tutors and who would approve the test. The commenter stated that local LEAs and schools do not currently have an appropriate test for measuring proficiency and that the ''on-line ParaPro test'' can be very challenging. The Corporation does not expect programs to necessarily use the test that paraprofessionals must pass to qualify under the NLCBA. The program may use the test that it deems appropriate to test the proficiency of its members, be it in math or English, or whatever core subjects the member may tutor. To select skill exams or tests, programs should consider seeking input from professionals in their local area. State Departments of Education, Adult Basic Education, or GED programs can provide names and sources of tests commonly used for basic subjects or skills at the level the program requires.

Potential proficiency tests might also include tests used by the U.S. Department of Education to enroll students who do not otherwise have a high-school diploma or its equivalent on what is known as an ''ability-to-benefit basis.'' The U.S. Department of Education periodically publishes the list of these approved tests and acceptable passing scores in the **Federal Register**. You may read the most recent list at 69 FR 26087 (May 11, 2004). We reiterate that a program is not required to use these tests. The program must determine an appropriate proficiency test given the focus of the program, the members recruited, and the population receiving the tutoring. The qualifications requirements for tutors in the final rule mirror the language of the proposed rule.

Tutor Program Requirements (§ 2522.940)

The proposed rule required tutoring programs to show competency to provide tutoring service through their recruitment, specialized training, performance measures, and supervision. One commenter commended the program requirements because they establish necessary standards and provide programs with implementation flexibility. This provision has not changed in the final rule.

I. Non-Displacement of Volunteers (§ 2540.100)

The Corporation's focus has consistently been, pursuant to the Act, to fund programs meeting needs that would otherwise go unmet in their communities. The non-displacement rules are one way to ensure that programs are meeting unmet needs, rather than needs that employees or volunteers are meeting already. In addition, E.O. 13331 directed national and community service programs to avoid or eliminate any practice that displaces volunteers. Consequently, the proposed rule stated that the service of an AmeriCorps member must complement, and may not displace, the service of other volunteers in the community, including partial displacement such as reducing a volunteer's hours.

One commenter supported the new provision on volunteer displacement. Three commenters requested that the Corporation clarify in the final rule its definition of volunteer displacement,

and how the Corporation and grantees will monitor volunteer displacement.

Six other commenters did not support the provision and thought it may have unintended consequences. One of the reasons proffered was that programs often use AmeriCorps members to transition from an administrative design that is no longer able to meet community demands for service. In one commenter's State, AmeriCorps members put ''legs under recruitment and outreach plans that were formerly the domain of one or two community volunteers. The result is more volunteers for the organization.'' One commission noted that the proposed rule language will focus attention on whether a particular volunteer function is assigned to an AmeriCorps member, rather than whether the AmeriCorps member's presence and work have resulted in a stronger community volunteer program. This commenter suggested that the Corporation focus the prohibition on the extent to which an AmeriCorps member's participation in a program results in ''either fewer community volunteers or fewer hours of volunteer service by the organization's community volunteers.'' Five other commenters, including two commissions, made similar comments.

The Corporation does not believe that a focus on the number of volunteers or volunteer hours is appropriate, primarily because of the burden it would place on organizations to track those numbers. In fact, the final rule omits the reference to volunteer hours, but maintains the rest of the language from the proposed rule.

The Corporation wants our programs to build on, rather than substitute for, service that is already occurring in the non-profit world. We do not want programs to use AmeriCorps members for activities that a community volunteer is already performing. However, we will consider whether in bringing on AmeriCorps members, the grantee is launching new sites or new service activities, expanding the role of community volunteers in the program, improving the caliber or diversity of members enrolled, or promoting other strategies to expand the program or enhance its impact in the community.

Monitoring and enforcement of this prohibition will occur as they currently do with respect to displacement of employees: The Corporation and grantees will be alert to the issues of displacement of volunteers in the selection process; the Corporation will include non-displacement of volunteers as one of the assurances grantees will make when accepting a grant; Corporation program officers will ask a program to demonstrate compliance if they have concerns; and, if a community volunteer raises displacement as an issue, the volunteer will have the option of filing a grievance at the program level, and the commission or the Corporation, as appropriate, will investigate any allegation of displacement as a compliance matter.

J. Transitional Entities (§§ 2550.10 Through 2550.80)

The National Service Trust Act of 1993 and the Corporation's regulations, originally issued in 1994, contemplated the existence of transitional entities, in addition to State commissions and alternative administrative entities, as State bodies that could be eligible to receive Corporation funding and administer national service programs on an interim basis. The provisions relating to transitional entities, however, sunsetted 27 months after the passage of the Act, or December 1995. The Corporation received no comments on this issue. The final rule is identical to the proposed rule and amends the regulations to remove any obsolete references to transitional entities.

K. State Commissions Directly Operating Programs (§ 2550.80(j))

Under the NCSA, a State commission or alternative administrative entity may not directly carry out any national service program that receives assistance under subtitle C of title I of the NCSA. 42 U.S.C. 12638(f). Currently, however, 45 CFR 2550.80 goes further than the statute by prohibiting State commissions from directly operating *any* national service program receiving assistance, in any form, from the Corporation. This means that, currently, a State commission is prohibited from operating not only a subtitle C AmeriCorps program, but also any subtitle H, Learn and Serve (except as permitted in the Learn and Serve legislation), AmeriCorps VISTA, or Senior Corps program. In the proposed rule, the Corporation proposed relaxing the restriction by amending the regulations to conform to the Act and give commissions more flexibility to directly operate non-subtitle C programs.

Six commenters were in favor of this provision, while fifty-one commenters opposed it. Most of the commenters opposing the provision represented Retired and Senior Volunteer Program and Foster Grandparent Program grantees or supporters, and specifically objected to State commissions directly operating Senior Corps programs. The Corporation was not persuaded by most of the reasons the commenters proffered for why State commissions should not be allowed to directly operate Senior Corps programs. However, one of their main oppositions to this provision was that it would eliminate one of the greatest strengths of the National Senior Service Corps programs—the local governance and local decision-making by local community-based sponsors regarding program focus and activities.

One commenter suggested that, because of the significance of this issue, this proposed change should be addressed in reauthorization, rather than in regulation. The Corporation, however, has proposed going no further than the current statutory language allows and, thus, does not believe statutory language is necessary to permit State commissions greater involvement in program delivery.

Nonetheless, the Corporation appreciates the concerns that the commenters expressed over the local nature of Senior Corps programs and the local needs they address. Furthermore, the Corporation notes that its current policy and regulations prohibit a Senior Corps grantee from sub-granting, delegating, or contracting project management responsibilities to any other entity. 45 CFR 2551.22, 2552.22, and 2553.22. While this language does not, in and of itself, prohibit a State commission from becoming a Senior Corps project sponsor, it would require a commission, like any other sponsor, to handle all project management responsibilities itself. The Corporation does not believe that most State commissions are in a position to operate a Senior Corps program without the ability to delegate or subgrant, and agrees with the commenters that local organizations are in the best position to identify local needs and operate the programs.

Furthermore, the Corporation received no indication that State commissions are in any way eager to operate Senior Corps programs—their interest appears to lie more with AmeriCorps VISTA, Special Volunteer Programs, and other initiatives that the Corporation might fund with subtitle H funds. Note that, under the NCSA, only an LEA may apply for school-based Learn and Serve funds.

Consequently, the Corporation is changing the proposed language in section 2550.80(j) to allow State commissions to directly operate any national service program except for those that receive assistance under subtitle C of title I of the NCSA (AmeriCorps), and Title II of the Domestic Volunteer Service Act of 1973 (Senior Corps).

VII. Effective Dates

The final rule will take effect September 6, 2005. However, the following sections will become operational for the 2006 program year:

§§ 2522.400 through 2522.475—Selection Criteria and Process

§§ 2522.500 through 2522.650—Performance Measures

§§ 2522.700 through 2522.740—Evaluation Requirements

To the extent that certain sections of the final rule restate current Corporation policy, current policy will remain in effect until superseded by the regulation.

VIII. Non-Regulatory Issues

A. Streamlining Grantee Requirements and Aligning Them With Grantee Needs

In the Notice of Proposed Rulemaking, the Corporation indicated its intent to streamline our grant application and grant-making processes, and streamline and align with grantee needs our reporting and other requirements. In particular, we discussed revising the timing of the grant cycle to better accommodate programs with start dates in the fall; streamlining continuation grant application and reporting requirements; and clarifying and streamlining our guidance to the field.

Several commenters appreciated the Corporation's efforts to make the grant cycles and reporting requirements flexible based on the needs of grantees, to streamline grant applications and guidelines, to decrease the time it takes to make a grant award, and to cut unnecessary paperwork out of the grant-making process. The Corporation is continuing its efforts to better align the grant-making timetable with grantees' needs, and to streamline application and reporting requirements.

Streamlining Continuation Grants and Reporting Requirements

Section 130 of the National and Community Service Act of 1990 authorizes the Corporation to determine the timing and content of applications for AmeriCorps funding. In the NPRM, the Corporation signaled its intent to change our continuation application requirements to minimize the burden on grantees, while ensuring that the Corporation receives the information it needs to make fiscally responsible continuation awards. Our goal is to streamline the application and review processes for continuations, as well as to give grantees more predictability over the three-year grant cycle.

In our discussion of the streamlining we envisioned in this area, the Corporation stated that we intended to work with State commissions on a schedule that accommodates the different start dates of programs within a State's portfolio. We also stated that, because of the uncertainties of annual appropriations, we were reviewing how this process would affect continuation requests that include an expansion request (including both requests for more program funds and requests for more member MSYs), and may establish an alternate timetable for considering those requests.

Two commenters expressed concern about the impact of approving grants on a rolling basis and tying application and reporting requirements to program start dates. These commenters indicated that States have AmeriCorps programs under a single grant code for specific funding categories—formula, competitive, and EAP. Rolling grant approvals based on program start dates may necessitate a different grant code for each program and would force multiple grant codes to be open and managed for longer periods, according to these commenters. The Corporation does not intend to make separate grants for each program in a State commission's portfolio. Rather, the Corporation intends that a State commission's grant is awarded in time for the program in the State's portfolio with the earliest start date to begin operations.

One commenter discussed the possibility of establishing an alternative timetable for those programs that wish to include an expansion request with their continuation application. This commenter indicated an understanding of how uncertain the annual appropriations process is, but believed that a program should not potentially lose funding because there was no increase in appropriations. A continuation program, according to this commenter, should at least be guaranteed level funding, assuming that it meets all the requirements and demonstrates that it is a high-quality program. While the Corporation typically awards three-year grants, the grants are incrementally funded on an annual basis, and consequently contingent on the availability of appropriations. For continuation programs that are compliant and meeting performance measures, the Corporation makes every effort to ensure level operations, but we cannot guarantee funding across the three years of a grant. The Corporation is continuing to identify ways to streamline this process and will provide further guidance later this year.

B. Maximizing a Grantee's Ability To Meet Objectives and Achieve Strong Outcomes

Re-Fill Rule

Since 2003, the Corporation prohibited programs from re-filling a slot when a member left without completing a term of service. We received 42 comments urging the Corporation to allow programs to refill vacant slots. On January 12, 2005, the Corporation implemented a change in the refill rule, on a pilot basis, to allow limited re-fill of positions. The Corporation will monitor and evaluate this pilot refill rule, and determine whether and to what extent to continue the refill rule in the future.

C. Improving the AmeriCorps Member Experience

During the preliminary input process, the Corporation received input from current and former AmeriCorps members asking us to focus on their experience and the resources available to them. The Corporation has a strong interest in the AmeriCorps member experience and intends to further explore ways to improve it.

In particular, as we indicated in the Notice of Proposed Rulemaking, the Corporation intends to explore creating a member satisfaction survey through which AmeriCorps members would be able to evaluate their programs and their AmeriCorps experience. One commenter supported the creation of a member satisfaction survey to gauge members' experience with both their program and AmeriCorps, as long as it is not a requirement that programs use the survey that the Corporation creates. The Corporation is in the process of creating a national survey for AmeriCorps members and we intend to post the results on our Web site when they are available, for prospective members to consider. Although the survey will be open to all members, the Corporation has not yet determined whether programs will be required to ensure all members participate.

IX. Rulemaking Analyses and Notices

Executive Order 12866

The Corporation has determined that this rule, while a significant regulatory action, is not an ''economically significant'' rule within the meaning of E.O. 12866 because it is not likely to result in an annual effect on the economy of $100 million or more, or an adverse and material effect on a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local,

or tribal government or communities. This is, however, a significant rule, and therefore has been reviewed by OMB.

The rule requires all grantees and subgrantees of the Corporation to increase, based on a predictable and incremental schedule, the grantee share of program costs. After the initial three-year grant period, a Corporation-funded program in its fourth year of operation must provide at least 26 percent of their overall program budget in matching money. During years five through ten of Corporation assistance, the program's required matching percentage increases gradually to 50 percent. Programs on the alternative match scale will begin increasing their share of match to 29 percent in the seventh year of operation, increasing gradually to 35 percent in the tenth year and beyond.

The initial impact of this change will be small. During the 2000–2002 grant period—the most recent three-year period where we have complete data on program budgets—about 20.2 percent of all AmeriCorps grantees and subgrantees had match percentages less than 26 percent. About 13 percent of these low-matching programs will not need to match at 26 percent immediately, because they would qualify for the lower match rate available for rural and low-income programs.

Among the rest of the low-matching programs, the average amount of matching money needed to reach the 26 percent level is about $18,900 per program, or about $2,274,700 per year across all AmeriCorps programs. The median program would require about $13,700 in additional matching money to reach the 26 percent level. The total annual project amount needed would increase somewhat—to about $2,806,500 per year—if all programs matched at the 26 percent level. All told, this analysis indicates that the programs that would be affected would require very little additional money to achieve a 26 percent match, and that the overall impact of the rule on Corporation programs falls well short of $100 million annually.

Regulatory Flexibility Act

The Corporation has determined that this regulatory action will not result in (1) an annual effect on the economy of $100 million or more; (2) a major increase in costs or prices for consumers, individual industries, Federal, State, or local government agencies, or geographic regions; or (3) significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of United States-based enterprises to compete with foreign-based enterprises in domestic and export markets. Therefore, the Corporation has not performed the regulatory flexibility analysis that is required under the Regulatory Flexibility Act (5 U.S.C. 601 *et seq.*) for major rules that are expected to have such results.

Other Impact Analyses

Under the Paperwork Reduction Act, information collection requirements which must be imposed as a result of this regulation have been reviewed by the Office of Management and Budget under OMB nos. 3045–0047, 3045–0065, 3045–0100, and 3045–0101 and these may be revised before this rule becomes effective.

For purposes of Title II of the Unfunded Mandates Reform Act of 1995, 2 U.S.C. 1531–1538, as well as Executive Order 12875, this regulatory action does not contain any Federal mandate that may result in increased expenditures in either Federal, State, local, or tribal governments in the aggregate, or impose an annual burden exceeding $100 million on the private sector.

List of Subjects

45 CFR Part 2510

Grant programs–social programs, Volunteers.

45 CFR Part 2520

Grant programs–social programs, Volunteers.

45 CFR Part 2521

Grant programs–social programs, Volunteers.

45 CFR Part 2522

Grant programs–social programs, Reporting and recordkeeping requirements, Volunteers.

45 CFR Part 2540

Administrative practice and procedure, Grant programs–social programs, Reporting and recordkeeping requirements, Volunteers

45 CFR Part 2550

Administrative practice and procedure, Grant programs–social programs.

■ For the reasons stated in the preamble, the Corporation for National and Community Service amends chapter XXV, title 45 of the Code of Federal Regulations as follows:

PART 2510—OVERALL PURPOSES AND DEFINITIONS

■ 1. The authority citation for part 2510 continues to read as follows:

Authority: 42 U.S.C. 12501 *et seq.*

■ 2. Amend § 2510.20 by adding the definitions ''recognized equivalent of a high-school diploma'' and ''target community'' in alphabetical order to read as follows:

§ 2510.20 Definitions.

* * * * *

Recognized equivalent of a high-school diploma. The term *recognized equivalent of a high-school diploma* means:

(1) A General Education Development Certificate (GED);

(2) A State certificate received by a student after the student has passed a State-authorized examination that the State recognizes as the equivalent of a high-school diploma;

(3) An academic transcript of a student who has successfully completed at least a two-year program that is acceptable for full credit toward a bachelor's degree; or

(4) For a person who is seeking enrollment in an educational program that leads to at least an associate degree or its equivalent and who has not completed high-school but who excelled academically in high-school, documentation that the student excelled academically in high-school and has met the formalized, written policies of the institution for admitting such students.

* * * * *

Target community. The term *target community* means the geographic community in which an AmeriCorps grant applicant intends to provide service to address an identified unmet human, educational, environmental, or public safety (including disaster-preparedness and response) need.

* * * * *

PART 2520—GENERAL PROVISIONS: AMERICORPS SUBTITLE C PROGRAMS

■ 1. The authority citation for part 2520 is revised to read as follows:

Authority: 42 U.S.C. 12571–12595.

■ 2. Add a new § 2520.5 to read as follows:

§ 2520.5 What definitions apply to this part?

You. For this part, *you* refers to the grantee or an organization operating an AmeriCorps program.

■ 3. Revise § 2520.20 to read as follows:

§ 2520.20 What service activities may I support with my grant?

(a) Your grant must initiate, improve, or expand the ability of an organization and community to provide services to address local unmet environmental, educational, public safety (including disaster preparedness and response), or other human needs.

(b) You may use your grant to support AmeriCorps members:

(1) Performing direct service activities that meet local needs.

(2) Performing capacity-building activities that improve the organizational and financial capability of nonprofit organizations and communities to meet local needs by achieving greater organizational efficiency and effectiveness, greater impact and quality of impact, stronger likelihood of successful replicability, or expanded scale.

§ 2520.30 [Redesignated as § 2520.65]

■ 4. Redesignate § 2520.30 as § 2520.65, and add the following sections: §§ 2520.25, 2520.30, 2520.35, 2520.40, 2520.45, 2520.50, 2520.55, and 2520.60.

§ 2520.25 What direct service activities may AmeriCorps members perform?

(a) The AmeriCorps members you support under your grant may perform direct service activities that will advance the goals of your program, that will result in a specific identifiable service or improvement that otherwise would not be provided, and that are included in, or consistent with, your Corporation-approved grant application.

(b) Your members' direct service activities must address local environmental, educational, public safety (including disaster preparedness and response), or other human needs.

(c) Direct service activities generally refer to activities that provide a direct, measurable benefit to an individual, a group, or a community.

(d) Examples of the types of direct service activities AmeriCorps members may perform include, but are not limited to, the following:

(1) Tutoring children in reading;

(2) Helping to run an after-school program;

(3) Engaging in community clean-up projects;

(4) Providing health information to a vulnerable population;

(5) Teaching as part of a professional corps;

(6) Providing relief services to a community affected by a disaster; and

(7) Conducting a neighborhood watch program as part of a public safety effort.

§ 2520.30 What capacity-building activities may AmeriCorps members perform?

Capacity-building activities that AmeriCorps members perform should enhance the mission, strategy, skills, and culture, as well as systems, infrastructure, and human resources of an organization that is meeting unmet community needs. Capacity-building activities help an organization gain greater independence and sustainability.

(a) The AmeriCorps members you support under your grant may perform capacity-building activities that advance your program's goals and that are included in, or consistent with, your Corporation-approved grant application.

(b) Examples of capacity-building activities your members may perform include, but are not limited to, the following:

(1) Strengthening volunteer management and recruitment, including:

(i) Enlisting, training, or coordinating volunteers;

(ii) Helping an organization develop an effective volunteer management system;

(iii) Organizing service days and other events in the community to increase citizen engagement;

(iv) Promoting retention of volunteers by planning recognition events or providing ongoing support and follow-up to ensure that volunteers have a high-quality experience; and

(v) Assisting an organization in reaching out to individuals and communities of different backgrounds when encouraging volunteering to ensure that a breadth of experiences and expertise is represented in service activities.

(2) Conducting outreach and securing resources in support of service activities that meet specific needs in the community;

(3) Helping build the infrastructure of the sponsoring organization, including:

(i) Conducting research, mapping community assets, or gathering other information that will strengthen the sponsoring organization's ability to meet community needs;

(ii) Developing new programs or services in a sponsoring organization seeking to expand;

(iii) Developing organizational systems to improve efficiency and effectiveness;

(iv) Automating organizational operations to improve efficiency and effectiveness;

(v) Initiating or expanding revenue-generating operations directly in support of service activities; and

(vi) Supporting staff and board education.

(4) Developing collaborative relationships with other organizations working to achieve similar goals in the community, such as:

(i) Community organizations, including faith-based organizations;

(ii) Foundations;

(iii) Local government agencies;

(iv) Institutions of higher education; and

(v) Local education agencies or organizations.

§ 2520.35 Must my program recruit or support volunteers?

(a) Unless the Corporation or the State commission, as appropriate, approves otherwise, some component of your program that is supported through the grant awarded by the Corporation must involve recruiting or supporting volunteers.

(b) If you demonstrate that requiring your program to recruit or support volunteers would constitute a fundamental alteration to your program structure, the Corporation (or the State commission for formula programs) may waive the requirement in response to your written request for such a waiver in the grant application.

§ 2520.40 Under what circumstances may AmeriCorps members in my program raise resources?

(a) AmeriCorps members may raise resources directly in support of your program's service activities.

(b) Examples of fundraising activities AmeriCorps members may perform include, but are not limited to, the following:

(1) Seeking donations of books from companies and individuals for a program in which volunteers teach children to read;

(2) Writing a grant proposal to a foundation to secure resources to support the training of volunteers;

(3) Securing supplies and equipment from the community to enable volunteers to help build houses for low-income individuals;

(4) Securing financial resources from the community to assist in launching or expanding a program that provides social services to the members of the community and is delivered, in whole or in part, through the members of a community-based organization;

(5) Seeking donations from alumni of the program for specific service projects being performed by current members.

(c) AmeriCorps members may not:

(1) Raise funds for living allowances or for an organization's general (as opposed to project) operating expenses or endowment;

(2) Write a grant application to the Corporation or to any other Federal agency.

§ 2520.45 How much time may an AmeriCorps member spend fundraising?

An AmeriCorps member may spend no more than ten percent of his or her originally agreed-upon term of service, as reflected in the member enrollment in the National Service Trust, performing fundraising activities, as described in § 2520.40.

§ 2520.50 How much time may AmeriCorps members in my program spend in education and training activities?

(a) No more than 20 percent of the aggregate of all AmeriCorps member service hours in your program, as reflected in the member enrollments in the National Service Trust, may be spent in education and training activities.

(b) Capacity-building activities and direct service activities do not count towards the 20 percent cap on education and training activities.

§ 2520.55 When may my organization collect fees for services provided by AmeriCorps members?

You may, where appropriate, collect fees for direct services provided by AmeriCorps members if:

(a) The service activities conducted by the members are allowable, as defined in this part, and do not violate the non-displacement provisions in § 2540.100 of these regulations; and

(b) You use any fees collected to finance your non-Corporation share, or as otherwise authorized by the Corporation.

§ 2520.60 What government-wide requirements apply to staff fundraising under my AmeriCorps grant?

You must follow all applicable OMB circulars on allowable costs (OMB Circular A–87 for State, Local, and Indian Tribal Governments, OMB Circular A–122 for Nonprofit Organizations, and OMB Circular A–21 for Educational Institutions). In general, the OMB circulars do not allow the following as direct costs under the grant: Costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.

PART 2521—ELIGIBLE AMERICORPS SUBTITLE C PROGRAM APPLICANTS AND TYPES OF GRANTS AVAILABLE FOR AWARD

■ 1. The authority citation for part 2521 is revised to read as follows:

Authority: 42 U.S.C. 12571–12595.

■ 2. Add a new § 2521.5 to read as follows:

§ 2521.5 What definitions apply to this part?

You. For this part, *you* refers to the grantee, unless otherwise noted.

■ 3. Establish a new § 2521.95 with the heading as set forth below.

§ 2521.95 To what extent may I use grant funds for administrative costs?

§ 2521.30 [Amended]

■ 4–5. Transfer the text of paragraph (h) of § 2521.30 to new § 2521.95, and remove § 2521.30(g); and:

■ a. In new § 2521.95, redesignate transfered paragraphs (h)(1), (h)(2) and (h)(3) introductory text as (a), (b), and (c), respectively;

■ b. Redesignate transfered (h)(3)(i), (h)(3)(i)(A), and (h)(3)(i)(B) as (c)(1), (c)(1)(i), (c)(1)(ii), respectively; and

■ c. Redesignate transfered (h)(3)(ii) and (h)(3)(iii) as (c)(2), and (c)(3), respectively.

■ 6. Add a new center heading after § 2521.30 as set forth below.

Program Matching Requirements

■ 7. Add the following sections: §§ 2521.35, 2521.40, 2521.45, 2521.50, 2521.60, 2521.70, 2521.80, and 2521.90.

§ 2521.35 Who must comply with matching requirements?

(a) The matching requirements described in §§ 2521.40 through 2521.95 apply to you if you are a subgrantee of a State commission or a direct program grantee of the Corporation. These requirements do not apply to Education Award Programs.

(b) If you are a State commission, you must ensure that your grantees meet the match requirements established in this part, and you are also responsible for meeting an aggregate overall match based on your grantees' match individual match requirements.

§ 2521.40 What are the matching requirements?

If you are subject to matching requirements under § 2521.35, you must adhere to the following:

(a) Basic match: At a minimum, you must meet the basic match requirements as articulated in § 2521.45.

(b) Regulatory match: In addition to the basic requirements under paragraph (a) of this section, you must provide an overall level of matching funds according to the schedule in § 2521.60(a), or § 2521.60(b) if applicable.

(c) Budgeted match: To the extent that the match in your approved budget exceeds your required match levels under paragraph (a) or (b) of this section, any failure to provide the amount above your regulatory match but below your budgeted match will be considered as a measure of past performance in subsequent grant competitions.

§ 2521.45 What are the limitations on the Federal government's share of program costs?

The limitations on the Federal government's share are different—in type and amount—for member support costs and program operating costs.

(a) *Member support:* The Federal share, including Corporation and other Federal funds, of member support costs, which include the living allowance required under § 2522.240(b)(1), FICA, unemployment insurance (if required under State law), worker's compensation (if required under State law), is limited as follows:

(1) The Federal share of the living allowance may not exceed 85 percent of the minimum living allowance required under § 2522.240(b)(1), and 85 percent of other member support costs.

(2) If you are a professional corps described in § 2522.240(b)(2)(i), you may not use Corporation funds for the living allowance.

(3) Your share of member support costs must be non-Federal cash.

(4) The Corporation's share of health care costs may not exceed 85 percent.

(b) *Program operating costs:* The Corporation share of program operating costs may not exceed 67 percent. These costs include expenditures (other than member support costs described in paragraph (a) of this section) such as staff, operating expenses, internal evaluation, and administration costs.

(1) You may provide your share of program operating costs with cash, including other Federal funds (as long as the other Federal agency permits its funds to be used as match), or third party in-kind contributions.

(2) Contributions, including third party in-kind must:

(i) Be verifiable from your records;

(ii) Not be included as contributions for any other Federally assisted program;

(iii) Be necessary and reasonable for the proper and efficient accomplishment of your program's objectives; and

(iv) Be allowable under applicable OMB cost principles.

(3) You may not include the value of direct community service performed by volunteers, but you may include the value of services contributed by volunteers to your organizations for organizational functions such as

accounting, audit, and training of staff and AmeriCorps programs.

§ 2521.50 If I am an Indian Tribe, to what extent may I use tribal funds towards my share of costs?

If you are an Indian Tribe that receives tribal funds through Public Law 93–638 (the Indian Self-Determination and Education Assistance Act), those funds are considered non-Federal and you may use them towards your share of costs, including member support costs.

§ 2521.60 To what extent must my share of program costs increase over time?

Except as provided in paragraph (b) of this section, if your program continues to receive funding after an initial three-year grant period, you must continue to meet the minimum requirements in § 2541.45 of this part. In addition, your required share of program costs, including member support and operating costs, will incrementally increase to a 50 percent overall share by the tenth year and any year thereafter that you receive a grant, without a break in funding of five years or more. A 50 percent overall match means that you will be required to match $1 for every $1 you receive from the Corporation.

(a) *Minimum Organization Share:* (1) Subject to the requirements of § 2521.45 of this part, and except as provided in paragraph (b) of this section, your overall share of program costs will increase as of the fourth consecutive year that you receive a grant, according to the following timetable:

	Year 1 (percent)	Year 2 (percent)	Year 3 (percent)	Year 4 (percent)	Year 5 (percent)	Year 6 (percent)	Year 7 (percent)	Year 8 (percent)	Year 9 (percent)	Year 10 (percent)
Minimum member support	15	15	15	15	15	15	15	15	15	15
Minimum operating costs	33	33	33	33	33	33	33	33	33	33
Minimum overall share	N/A	N/A	N/A	26	30	34	38	42	46	50

(2) A grantee must have contributed matching resources by the end of a grant period in an amount equal to the combined total of the minimum overall annual match for each year of the grant period, according to the table in paragraph (a)(1) of this section.

(3) A State commission may meet its match based on the aggregate of its grantees' individual match requirements.

(b) *Alternative match requirements:* If your program is unable to meet the match requirements as required in paragraph (a) of this section, and is located in a rural or a severely economically distressed community, you may apply to the Corporation for a waiver that would require you to increase the overall amount of your share of program costs beginning in the seventh consecutive year that you receive a grant, according to the following table:

	Year 1 (percent)	Year 2 (percent)	Year 3 (percent)	Year 4 (percent)	Year 5 (percent)	Year 6 (percent)	Year 7 (percent)	Year 8 (percent)	Year 9 (percent)	Year 10 (percent)
Minimum member support	15	15	15	15	15	15	15	15	15	15
Minimum operating costs	33	33	33	33	33	33	33	33	33	33
Minimum overall share	N/A	N/A	N/A	N/A	N/A	N/A	29	31	33	35

(c) *Determining Program Location.* (1) The Corporation will determine whether your program is located in a rural county by considering the U.S. Department of Agriculture's Beale Codes.

(2) The Corporation will determine whether your program is located in a severely economically distressed county by considering unemployment rates, per capita income, and poverty rates.

(3) Unless the Corporation approves otherwise, as provided in paragraph (c)(4) of this section, the Corporation will determine the location of your program based on the legal applicant's address.

(4) If you believe that the legal applicant's address is not the appropriate way to consider the location of your program, you may request the waiver described in paragraph (b) of this section and provide the relevant facts about your program location to support your request.

(d) *Schedule for current program grants:* If you have completed at least one three-year grant cycle on the date this regulation takes effect, you will be required to provide your share of costs beginning at the year three level, according to the table in paragraph (a) of this section, in the first program year in your grant following the regulation's effective date, and increasing each year thereafter as reflected in the table.

(e) *Flexibility in how you provide your share:* As long as you meet the basic match requirements in § 2521.45, you may use cash or in-kind contributions to reach the overall share level. For example, if your organization finds it easier to raise member support match, you may choose to meet the required overall match by raising only more member support match, and leave operational match at the basic level, as long as you provide the required overall match.

(f) *Reporting excess resources.* (1) The Corporation encourages you to obtain support over-and-above the matching fund requirements. Reporting these resources may make your application more likely to be selected for funding, based on the selection criteria in §§ 2522.430 and 2522.435 of these regulations.

(2) You must comply with § 2543.23 of this title and applicable OMB circulars in documenting cash and in-kind contributions and excess resources.

§ 2521.70 To what extent may the Corporation waive the matching requirements in §§ 2521.45 and 2521.60 of this part?

(a) The Corporation may waive, in whole or in part, the requirements of §§ 2521.45 and 2521.60 of this part if the Corporation determines that a waiver would be equitable because of a lack of available financial resources at the local level.

(b) If you are requesting a waiver, you must demonstrate:

(1) The lack of resources at the local level;

(2) That the lack of resources in your local community is unique or unusual;

(3) The efforts you have made to raise matching resources; and

(4) The amount of matching resources you have raised or reasonably expect to raise.

(c) You must provide with your waiver request:

(1) A request for the specific amount of match you are requesting that the Corporation waive; and

(2) A budget and budget narrative that reflects the requested level in matching resources.

§ 2521.80 What matching level applies if my program was funded in the past but has not recently received an AmeriCorps grant?

(a) If you have not been a direct recipient of an AmeriCorps operational grant from the Corporation or a State commission for five years or more, as determined by the end date of your most recent grant period, you may begin matching at the year one level, as reflected in the timetable in § 2521.60(a) of this part, upon receiving your new grant award.

(b) If you have not been a direct recipient of an AmeriCorps operational grant from the Corporation or a State commission for fewer than five years, you must begin matching at the same level you were matching at the end of your most recent grant period.

§ 2521.90 If I am a new or replacement legal applicant for an existing program, what will my matching requirements be?

If your organization is a new or replacement legal applicant for an existing program, you must provide matching resources at the level the previous legal applicant had reached at the time you took over the program.

PART 2522—AMERICORPS PARTICIPANTS, PROGRAMS, AND APPLICANTS

■ 1. The authority citation for part 2522 is revised to read as follows:

Authority: 42 U.S.C. 12571–12595.

■ 2. Add a new § 2522.10 to subpart A to read as follows:

§ 2522.10 What definitions apply to this part?

You. For this part, *you* refers to the grantee, unless otherwise noted.

■ 3. Amend § 2522.250 as follows:

■ a. In paragraph (a)(3) revise the text to read as follows; and

■ b. In paragraph (b)(3) revise the paragraph heading, and paragraph (b)(3)(i), to read as follows:

§ 2522.250 What other benefits do AmeriCorps participants serving in approved AmeriCorps positions receive?

(a) * * *

(3) * * * The amount of the child-care allowance may not exceed the applicable payment rate to an eligible provider established by the State for child care funded under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858c(4)(A)).

* * * * *

(b) * * *

(3) *Corporation share.* (i) Except as provided in paragraph (b)(3)(ii) of this section, the Corporation's share of the cost of health coverage may not exceed 85 percent.

* * * * *

■ 4a. Revise § 2522.400 and § 2522.410 to read as follows:

§ 2522.400 What process does the Corporation use to select new grantees?

The Corporation uses a multi-stage process, which may include review by panels of experts, Corporation staff review, and approval by the Chief Executive Officer or the Board of Directors, or their designee.

§ 2522.410 What is the role of the Corporation's Board of Directors in the selection process?

The Board of Directors has general authority to determine the selection process, including priorities and selection criteria, and has authority to make grant decisions. The Board may delegate these functions to the Chief Executive Officer.

§ 2522.420 [Redesignated as § 2522.480]

■ 4b. Redesignate § 2522.420 as § 2522.480.

■ 5. Add the following sections: §§ 2522.415, 2522.420, 2522.425, 2522.430, 2522.435, 2522.440, 2522.445, 2522.448, 2522.450, 2522.455, 2522.460, 2522.465, 2522.470, and 2522.475.

§ 2522.415 How does the grant selection process work?

The selection process includes:

(a) Determining whether your proposal complies with the application requirements, such as deadlines and eligibility requirements;

(b) Applying the basic selection criteria to assess the quality of your proposal;

(c) Applying any applicable priorities or preferences, as stated in these regulations and in the applicable Notice of Funding Availability; and

(d) Ensuring innovation and geographic, demographic, and programmatic diversity across the Corporation's national AmeriCorps portfolio.

§ 2522.420 What basic criteria does the Corporation use in making funding decisions?

In evaluating your application for funding, the Corporation will assess:

(a) Your program design;

(b) Your organizational capability; and

(c) Your program's cost-effectiveness and budget adequacy.

§ 2522. 425 What does the Corporation consider in assessing Program Design?

In determining the quality of your proposal's program design, the Corporation considers your rationale and approach for the proposed program, member outputs and outcomes, and community outputs and outcomes.

(a) *Rationale and approach.* In evaluating your rationale and approach, the Corporation considers the following criteria:

(1) Whether your proposal describes and adequately documents a compelling need within the target community, including a description of how you identified the need;

(2) Whether your proposal includes well-designed activities that address the compelling need, with ambitious performance measures, and a plan or system for continuous program self-assessment and improvement;

(3) Whether your proposal describes well-defined roles for participants that are aligned with the identified needs and that lead to measurable outputs and outcomes; and

(4) The extent to which your proposed program or project:

(i) Effectively involves the target community in planning and implementation;

(ii) Builds on (without duplicating), or reflects collaboration with, other national and community service programs supported by the Corporation; and

(iii) Is designed to be replicated.

(b) *Member outputs and outcomes.* In evaluating how your proposal addresses member outputs and outcomes, the Corporation considers the extent to which your proposal or program:

(1) Includes effective and feasible plans for, or evidence of, recruiting, managing, and rewarding diverse members, including those from the target community, and demonstrating member satisfaction;

(2) If you are a current grantee, has succeeded in meeting reasonable member enrollment and retention targets in prior grant periods, as determined by the Corporation;

(3) Includes effective and feasible plans for, or evidence of, developing, training, and supervising members;

(4) Demonstrates well-designed training or service activities that promote and sustain post-service, an ethic of service and civic responsibility, including structured opportunities for

members to reflect on and learn from their service; and

(5) If you are a current grantee, has met well-defined, performance measures regarding AmeriCorps members, including any applicable national performance measures, and including outputs and outcomes.

(c) *Community outputs and outcomes.* In evaluating whether your proposal adequately addresses community outputs and outcomes, the Corporation considers the extent to which your proposal or program:

(1) Is successful in meeting targeted, compelling community needs, or if you are a current grantee, the extent to which your program has met its well-defined, community-based performance measures, including any applicable national performance measures, and including outputs and outcomes, in previous grant cycles, and is continually expanding and increasing its reach and impact in the community;

(2) Has an impact in the community that is sustainable beyond the presence of Federal support (For example, if one of your projects is to revitalize a local park, you would meet this criterion by showing that after you have completed your revitalization project, the community will continue its upkeep on its own);

(3) Generates and supports volunteers to expand the reach of your program in the community; and

(4) Enhances capacity-building of other organizations and institutions important to the community, such as schools, homeland security organizations, neighborhood watch organizations, civic associations, and community organizations, including faith-based organizations.

§ 2522.430 How does the Corporation assess my organizational capability?

(a) In evaluating your organizational capability, the Corporation considers the following:

(1) The extent to which your organization has a sound structure including:

(i) The ability to provide sound programmatic and fiscal oversight;

(ii) Well-defined roles for your board of directors, administrators, and staff;

(iii) A well-designed plan or systems for organizational (as opposed to program) self-assessment and continuous improvement; and

(iv) The ability to provide or secure effective technical assistance.

(2) Whether your organization has a sound record of accomplishment as an organization, including the extent to which you:

(i) Generate and support diverse volunteers who increase your organization's capacity;

(ii) Demonstrate leadership within the organization and the community served; and

(iii) If you are an existing grantee, you have secured the matching resources as reflected in your prior grant awards;

(3) The extent to which you are securing community support that recurs, expands in scope, or increases in amount, and is more diverse, as evidenced by—

(i) Collaborations that increase the quality and reach of service and include well-defined roles for faith-based and other community organizations;

(ii) Local financial and in-kind contributions; and

(iii) Supporters who represent a wide range of community stakeholders.

(b) In applying the criteria in paragraph (a) of this section to each proposal, the Corporation may take into account the following circumstances of individual organizations:

(1) The age of your organization and its rate of growth; and

(2) Whether your organization serves a resource-poor community, such as a rural or remote community, a community with a high poverty rate, or a community with a scarcity of philanthropic and corporate resources.

§ 2522.435 How does the Corporation evaluate the cost-effectiveness and budget adequacy of my program?

(a) In evaluating the cost-effectiveness and budget adequacy of your proposed program, the Corporation considers the following:

(1) Whether your program is cost-effective based on:

(i) Your program's proposed Corporation cost per MSY, as defined in § 2522.485; and

(ii) Other indicators of cost-effectiveness, such as:

(A) The extent to which your program demonstrates diverse non-Federal resources for program implementation and sustainability;

(B) If you are a current grantee, the extent to which you are increasing your share of costs to meet or exceed program goals; or

(C) If you are a current grantee, the extent to which you are proposing deeper impact or broader reach without a commensurate increase in Federal costs; and

(2) Whether your budget is adequate to support your program design.

(b) In applying the cost-effectiveness criteria in paragraph (a) of this section, the Corporation will take into account the following circumstances of individual programs:

(1) Program age, or the extent to which your program brings on new sites;

(2) Whether your program or project is located in a resource-poor community, such as a rural or remote community, a community with a high poverty rate, or a community with a scarcity of corporate or philanthropic resources;

(3) Whether your program or project is located in a high-cost, economically distressed community, measured by applying appropriate Federal and State data; and

(4) Whether the reasonable and necessary costs of your program or project are higher because they are associated with engaging or serving difficult-to-reach populations, or achieving greater program impact as evidenced through performance measures and program evaluation.

(c) The indicators in paragraphs (a)(1)(i) and (a)(1)(ii)(B) of this section do not apply to Education Award Program applicants.

§ 2522.440 What weight does the Corporation give to each category of the basic criteria?

In evaluating applications, the Corporation assigns the following weights for each category:

Category	Percentage
Program design	50
Organizational capability	25
Cost-effectiveness and budget adequacy	25

§ 2522.445 What weights does the Corporation give to the subcategories under Program Design?

The Corporation gives the following weights to the subcategories under Program Design:

Program design sub-category	Percentage
Rationale and approach	10
Member outputs and outcomes	20
Community outputs and outcomes	20

§ 2522.448 What weights does the Corporation give to the subcategories under Cost Effectiveness and Budget Adequacy?

Cost-effectiveness and budget adequacy sub-category	Percentage
Cost-effectiveness	15
Adequacy of budget	10

§ 2522.450 What types of programs or program models may receive special consideration in the selection process?

Following the scoring of proposals under § 2522.440 of this part, the Corporation will seek to ensure that its portfolio of approved programs includes a meaningful representation of proposals that address one or more of the following priorities:

(a) *Program models:* (1) Programs operated by community organizations, including faith-based organizations, or programs that support the efforts of community organizations, including faith-based organizations, to solve local problems;

(2) Lower-cost professional corps programs, as defined in paragraph (a)(3) of § 2522.110 of this chapter.

(b) *Program activities:* (1) Programs that serve or involve children and youth, including mentoring of disadvantaged youth and children of prisoners;

(2) Programs that address educational needs, including those that carry out literacy and tutoring activities generally, and those that focus on reading for children in the third grade or younger;

(3) Programs that focus on homeland security activities that support and promote public safety, public health, and preparedness for any emergency, natural or man-made (this includes programs that help to plan, equip, train, and practice the response capabilities of many different response units ready to mobilize without warning for any emergency);

(4) Programs that address issues relating to the environment;

(5) Programs that support independent living for seniors or individuals with disabilities;

(6) Programs that increase service and service-learning on higher education campuses in partnership with their surrounding communities;

(7) Programs that foster opportunities for Americans born in the post-World War II baby boom to serve and volunteer in their communities; and

(8) Programs that involve community-development by finding and using local resources, and the capacities, skills, and assets of lower-income people and their community, to rejuvenate their local economy, strengthen public and private investments in the community, and help rebuild civil society.

(c) *Programs supporting distressed communities:* Programs or projects that will be conducted in:

(1) A community designated as an empowerment zone or redevelopment area, targeted for special economic incentives, or otherwise identifiable as having high concentrations of low-income people;

(2) An area that is environmentally distressed, as demonstrated by Federal and State data;

(3) An area adversely affected by Federal actions related to managing Federal lands that result in significant regional job losses and economic dislocation;

(4) An area adversely affected by reductions in defense spending or the closure or realignment of military installation;

(5) An area that has an unemployment rate greater than the national average unemployment for the most recent 12 months for which State or Federal data are available;

(6) A rural community, as demonstrated by Federal and State data; or

(7) A severely economically distressed community, as demonstrated by Federal and State data.

(d) *Other programs:* Programs that meet any additional priorities as the Corporation determines and disseminates in advance of the selection process.

§ 2522.455 How do I find out about additional priorities governing the selection process?

The Corporation posts discretionary funding opportunities addressing the Corporation's selection preferences and additional requirements on our website at *www.nationalservice.gov* and at *www.grants.gov* in advance of grant competitions

§ 2522. 460 To what extent may the Corporation or a State commission consider priorities other than those stated in these regulations or the Notice of Funding Availability?

(a) The Corporation may give special consideration to a national service program submitted by a State commission that does not meet one of the Corporation's priorities if the State commission adequately explains why the State is not able to carry out a program that meets one of the Corporation's priorities, and why the program meets one of the State's priorities.

(b) A State may apply priorities different than those of the Corporation in selecting its formula programs.

§ 2522.465 What information must a State commission submit on the relative strengths of applicants for State competitive funding?

(a) If you are a State commission applying for State competitive funding, you must prioritize the proposals you submit in rank order based on their relative quality and according to the following table:

If you submit this number of state competitive proposals to the corporation	Then you must rank this number of proposals
1 to 12	At least top 5.
13 to 24	At least top 10.
25 or more	At least top 15.

(b) While the rankings you provide will not be determinative in the grant selection process, and the Corporation will not be bound by them, we will consider them in our selection process.

§ 2522.470 What other factors or information may the Corporation consider in making final funding decisions?

(a) The Corporation will seek to ensure that our portfolio of AmeriCorps programs is programmatically, demographically, and geographically diverse and includes innovative programs, and projects in rural, high poverty, and economically distressed areas.

(b) In applying the selection criteria under §§ 2522.420 through 2522.435, the Corporation may, with respect to a particular proposal, also consider one or more of the following for purposes of clarifying or verifying information in a proposal, including conducting due diligence to ensure an applicant's ability to manage Federal funds:

(1) For an applicant that has previously received a Corporation grant, any information or records the applicant submitted to the Corporation, or that the Corporation has in its system of records, in connection with its previous grant (*e.g.* progress reports, site visit reports, financial status reports, audits, HHS Account Payment Data Reports, Federal Cash Transaction Reports, timeliness of past reporting, etc.);

(2) Program evaluations;

(3) Member-related information from the Corporation's systems;

(4) Other Corporation internal information, including information from the Office of Inspector General, administrative standards for State commissions, and reports on program training and technical assistance;

(5) IRS Tax Form 990;

(6) An applicant organization's annual report;

(7) Information relating to the applicant's financial management from Corporation records;

(8) Member satisfaction indicators;

(9) Publicly available information including:

(i) Socio-economic and demographic data, such as poverty rate, unemployment rate, labor force

participation, and median household income;

(ii) Information on where an applicant and its activities fall on the U.S. Department of Agriculture's urban-rural continuum (Beale codes);

(iii) Information on the nonprofit and philanthropic community, such as charitable giving per capita;

(iv) Information from an applicant organization's website; and

(v) U.S. Department of Education data on Federal Work Study and Community Service; and

(10) Other information, following notice in the relevant Notice of Funding Availability, of the specific information and the Corporation's intention to be able to consider that information in the review process.

(c) Before approving a program grant to a State commission, the Corporation will consider a State commission's capacity to manage and monitor grants.

§ 2522. 475 To what extent must I use the Corporation's selection criteria and priorities when selecting formula programs or operating sites?

You must ensure that the selection criteria you use include the following criteria:

(a) The quality of the national service program proposed to be carried out directly by the applicant or supported by a grant from the applicant.

(b) The innovative aspects of the national service program, and the feasibility of replicating the program.

(c) The sustainability of the national service program.

(d) The quality of the leadership of the national service program, the past performance of the program, and the extent to which the program builds on existing programs.

(e) The extent to which participants of the national service program are recruited from among residents of the communities in which projects are to be conducted, and the extent to which participants and community residents are involved in the design, leadership, and operation of the program.

(f) The extent to which projects would be conducted in one of the areas listed in § 2522.450(c)(1) through (5) of this subpart.

(g) In the case of applicants other than States, the extent to which the application is consistent with the application of the State in which the projects would be conducted.

(h) Such other criteria as the Corporation considers to be appropriate, following appropriate notice.

■ 6. Add new § 2522.485 to read as follows:

§ 2522.485 How do I calculate my program's budgeted Corporation cost per member service year (MSY)?

If you are an AmeriCorps national and community service program, you calculate your Corporation cost per MSY by dividing the Corporation's share of budgeted grant costs by the number of member service years you are awarded in your grant. You do not include child-care or the cost of the education award a member may earn through serving with your program.

§§ 2522.540, 2522.550, and 2522.560 [Redesignated as §§ 2522.800, 2522.810, and 2522.820]

■ 7. Amend subpart E of part 2522 as follows:

a. By redesignating § 2522.540, § 2522.550, and § 2522.560 as § 2522.800, § 2522.810, and § 2522.820 respectively;

b. By revising §§ 2522.500, 2522.510, 2522.520, and 2522.530;

c. By adding §§ 2522.540, 2522.550, 2522.560, 2522.570, 2522.580, 2522.590, 2522.600, 2522.610, 2522.620, 2522.630, 2522.640, 2522.650, 2522.700, 2522.710, 2522.720, 2522.730, and 2522.740; and

d. By adding undesignated center headings preceding §§ 2522.550 and 2522.700.

The added and revised text reads as follows:

§ 2522.500 What is the purpose of this subpart?

(a) This subpart sets forth the minimum performance measures and evaluation requirements that you as a Corporation applicant or grantee must follow.

(b) The performance measures that you, as an applicant, propose when you apply will be considered in the review process and may affect whether the Corporation selects you to receive a grant. Your performance related to your approved measures will influence whether you continue to receive funding.

(c) Performance measures and evaluations are designed to strengthen your AmeriCorps program and foster continuous improvement, and help identify best practices and models that merit replication, as well as programmatic weaknesses that need attention.

§ 2522.510 To whom does this subpart apply?

This subpart applies to you if you are a Corporation grantee administering an AmeriCorps grant, including an Education Award Program grant, or if you are applying to receive AmeriCorps funding from the Corporation.

§ 2522.520 What special terms are used in this subpart?

The following definitions apply to terms used in this subpart of the regulations:

(a) *Approved application* means the application approved by the Corporation or, for formula programs, by a State commission.

(b) *Community beneficiaries* refers to persons who receive services or benefits from a program, but not to AmeriCorps members or to staff of the organization operating the program.

(c) *Outputs* are the amount or units of service that members or volunteers have completed, or the number of community beneficiaries the program has served. Outputs do not provide information on benefits or other changes in communities or in the lives of members or community beneficiaries. Examples of outputs could include the number of people a program tutors, counsels, houses, or feeds.

(d) *Intermediate-outcomes* specify a change that has occurred in communities or in the lives of community beneficiaries or members, but is not necessarily a lasting benefit for them. They are observable and measurable indications of whether or not a program is making progress and are logically connected to end outcomes. An example would be the number and percentage of students who report reading more books as a result of their participation in a tutoring program.

(e) *Internal evaluation* means an evaluation that a grantee performs in-house without the use of an independent external evaluator.

(f) *End-outcomes* specify a change that has occurred in communities or in the lives of community beneficiaries or members that is significant and lasting. These are actual benefits or changes for participants during or after a program. For example, in a tutoring program, the end outcome could be the percent and number of students who have improved their reading scores to grade-level, or other specific measures of academic achievement.

(g) *Grantee* includes subgrantees, programs, and projects.

(h) *National performance measures* are performance measures that the Corporation develops.

(h) *You* refers to a grantee or applicant organization.

§ 2522.530 May I use the Corporation's program grant funds for performance measurement and evaluation?

If performance measurement and evaluation costs were approved as part of your grant, you may use your

program grant funds to support them, consistent with the level of approved costs for such activities in your grant award.

§ 2522.540 Do the costs of performance measurement or evaluation count towards the statutory cap on administrative costs?

No, the costs of performance measurement and evaluation do not count towards the statutory five percent cap on administrative costs in the grant, as provided in § 2540.110 of this chapter.

Performance Measures: Requirements and Procedures

§ 2522.550 What basic requirements must I follow in measuring performance under my grant?

All grantees must establish, track, and assess performance measures for their programs. As a grantee, you must ensure that any program under your oversight fulfills performance measure and evaluation requirements. In addition, you must:

(a) Establish ambitious performance measures in consultation with the Corporation, or the State commission, as appropriate, following §§ 2422.560 through 2422.660 of this subpart;

(b) Ensure that any program under your oversight collects and organizes performance data on an ongoing basis, at least annually;

(c) Ensure that any program under your oversight tracks progress toward meeting your performance measures;

(d) Ensure that any program under your oversight corrects performance deficiencies promptly; and

(e) Accurately and fairly present the results in reports to the Corporation.

§ 2522.560 What are performance measures and performance measurement?

(a) Performance measures are measurable indicators of a program's performance as it relates to member service activities.

(b) Performance measurement is the process of regularly measuring the services provided by your program and the effect your program has in communities or in the lives of members or community beneficiaries.

(c) The main purpose of performance measurement is to strengthen your AmeriCorps program and foster continuous improvement and to identify best practices and models that merit replication. Performance measurement will also help identify programmatic weaknesses that need attention.

§ 2522.570 What information on performance measures must my grant application include?

You must submit all of the following as part of your application for each program:

(a) Proposed performance measures, as described in § 2522.580 and § 2522.590 of this part.

(b) Estimated performance data for the program years for which you submit your application; and

(c) Actual performance data, where available, as follows:

(i) For continuation programs, performance data over the course of the grant to date; and

(ii) For recompeting programs, performance data for the preceding three-year grant cycle.

§ 2522.580 What performance measures am I required to submit to the Corporation?

(a) When applying for funds, you must submit, at a minimum, the following performance measures:

(1) One set of aligned performance measures (one output, one intermediate-outcome, and one end-outcome) that capture the results of your program's primary activity, or area of significant activity for programs whose design precludes identifying a primary activity; and

(2) Any national performance measures the Corporation may require, as specified in paragraph (b) of § 2522.590.

(b) For example, a tutoring program might use the following aligned performance measures:

(1) Output: Number of students that participated in a tutoring program;

(2) Intermediate-Outcome: Percent of students reading more books; and

(3) End-Outcome: Number and percent of students who have improved their reading score to grade level.

(c) The Corporation encourages you to exceed the minimum requirements expressed in this section and expects, in second and subsequent grant cycles, that you will more fully develop your performance measures, including establishing multiple performance indicators, and improving and refining those you used in the past. Any performance measures you submit beyond what is required in paragraph (a)(1) of this section may or may not be aligned sets of measures.

§ 2522.590 Who develops my performance measures?

(a) You are responsible for developing your program-specific performance measures through your own internal process.

(b) In addition, the Corporation may, in consultation with grantees, establish performance measures that will apply to all Corporation-sponsored programs, which you will be responsible for collecting and meeting.

§ 2522.600 Who approves my performance measures?

(a) The Corporation will review and approve performance measures, as part of the grant application review process, for all non-formula programs. If the Corporation selects your application for funding, the Corporation will approve your performance measures as part of your grant award.

(b) If you are a program submitting an application under the State formula category, the applicable State commission is responsible for reviewing and approving your performance measures. The Corporation will not separately approve these measures.

§ 2522.610 What is the difference in performance measurements requirements for competitive and formula programs?

(a) Except as provided in paragraph (b) of this section, State commissions are responsible for making the final determination of performance measures for State formula programs, while the Corporation makes the final determination for all other programs.

(b) The Corporation may, through the State commission, require that formula programs meet certain national performance measures above and beyond what the State commission has individually negotiated with its formula grantees.

(c) While State commissions must hold their sub-grantees responsible for their performance measures, a State commission, as a grantee, is responsible to the Corporation for its formula programs' performance measures.

§ 2522.620 How do I report my performance measures to the Corporation?

The Corporation sets specific reporting requirements, including frequency and deadlines, for performance measures in the grant award.

(a) In general, you are required to report on the actual results that occurred when implementing the grant and to regularly measure your program's performance.

(b) Your report must include the results on the performance measures approved as part of your grant award.

(c) At a minimum, you are required to report on outputs at the end of year one; outputs and intermediate-outcomes at the end of year two; and outputs, intermediate-outcomes and end-outcomes at the end of year three. We encourage you to exceed these

minimum requirements and report results earlier.

§ 2522.630 What must I do if I am not able to meet my performance measures?

If you are not on track to meet your performance measures, you must develop and submit to the Corporation, or the State commission for formula programs, a corrective action plan, consistent with paragraph (a) of this section, or submit a request to the Corporation, or the State commission for formula programs, consistent with paragraph (b) of this section, to amend your requirements under the circumstances described in § 2522.640 of this subpart.

(a) Your corrective action plan must be in writing and include all of the following:

(1) The factors impacting your performance goals;

(2) The strategy you are using and corrective action you are taking to get back on track toward your established performance measures; and

(3) The timeframe in which you plan to achieve getting back on track with your performance measures.

(b) A request to amend your performance measures must include all of the following:

(1) Why you are not on track to meet your performance requirements;

(2) How you have been tracking performance measures;

(3) Evidence of the corrective action you have taken;

(4) Any new proposed performance measures or targets; and

(5) Your plan to ensure that you meet any new measures.

(c) You must submit your plan under paragraph (a) of this section, or your request under paragraph (b) of this section, within 30 days of determining that you are not on track to meeting your performance measures.

(d) If you are a formula program, the State commission that approves the plan under paragraph (a) of this section or the request to amend your performance measures under paragraph (b) of this section, must forward an information copy to the Corporation's AmeriCorps program office within 15 days of approving the plan or the request.

§ 2522.640 Under what circumstances may I change my performance measures?

(a) You may change your performance measures only if the Corporation or, for formula programs, the State commission, approves your request to do so based on your need to:

(1) Adjust your performance measure or target based on experience so that your program's goals are more realistic and manageable;

(2) Replace a measure related to one issue area with one related to a different issue area that is more aligned with your program service activity. For example, you may need to replace an objective related to health with one related to the environment;

(3) Redefine the service that individuals perform under the grant. For example, you may need to define your service as tutoring adults in English, as opposed to operating an after-school program for third-graders;

(4) Eliminate an activity because you have been unable to secure necessary matching funding; or

(5) Replace one measure with another. For example, you may decide that you want to replace one measure of literacy tutoring (increased attendance at school) with another (percentage of students who are promoted to the next grade level).

(b) [Reserved].

§ 2522.650 What happens if I fail to meet the performance measures included in my grant?

(a) If you are significantly under-performing based on the performance measures approved in your grant, or fail to collect appropriate data to allow performance measurement, the Corporation, or the State commission for formula grantees, may specify a period of correction, after consulting with you. As a grantee, you must report results at the end of the period of correction. At that point, if you continue to under-perform, or fail to collect appropriate data to allow performance measurement, the Corporation may take one or more of the following actions:

(1) Reduce the amount of your grant;

(2) Suspend or terminate your grant;

(3) Use this information to assess any application from your organization for a new AmeriCorps grant or a new grant under another program administered by the Corporation;

(4) Amend the terms of any Corporation grants to your organization; or

(5) Take other actions that the Corporation deems appropriate.

(b) If you are a State commission whose formula program(s) is significantly under-performing or failing to collect appropriate data to allow performance measurement, we encourage you to take action as delineated in paragraph (a) of this section.

Evaluating Programs: Requirements and Procedures

§ 2522.700 How does evaluation differ from performance measurement?

(a) Evaluation is a more in-depth, rigorous effort to measure the impact of programs. While performance measurement and evaluation both include systematic data collection and measurement of progress, evaluation uses scientifically-based research methods to assess the effectiveness of programs by comparing the observed program outcomes with what would have happened in the absence of the program. Unlike performance measures, evaluations estimate the impacts of programs by comparing the outcomes for individuals receiving a service or participating in a program to the outcomes for similar individuals not receiving a service or not participating in a program. For example, an evaluation of a literacy program may compare the reading ability of students in a program over time to a similar group of students not participating in a program.

(b) Performance measurement is the process of systematically and regularly collecting and monitoring data related to the direction of observed changes in communities, participants (members), or end beneficiaries receiving your program's services. It is intended to provide an indication of your program's operations and performance. In contrast to evaluation, it is not intended to establish a causal relationship between your program and a desired (or undesired) program outcome. For example, a performance measure for a literacy program may include the percentage of students receiving services from your program who increase their reading ability from ''below grade level'' to ''at or above grade level''. This measure indicates something good is happening to your program's service beneficiaries, but it does not indicate that the change can be wholly attributed to your program's services.

§ 2522.710 What are my evaluation requirements?

(a) If you are a State commission, you must establish and enforce evaluation requirements for your State formula subgrantees, as you deem appropriate.

(b) If you are a State competitive or direct Corporation AmeriCorps grantee (other than an Education Award Program grantee), and your average annual Corporation program grant is $500,000 or more, you must arrange for an independent evaluation of your program, and you must submit the

evaluation with any application to the Corporation for competitive funds as required in § 2522.730 of this subpart.

(c) If you are a State competitive or direct Corporation AmeriCorps grantee whose average annual Corporation program grant is less than $500,000, or an Education Award Program grantee, you must conduct an internal evaluation of your program, and you must submit the evaluation with any application to the Corporation for competitive funds as required in § 2522.730 of this subpart.

(d) The Corporation may, in its discretion, supersede these requirements with an alternative evaluation approach, including one conducted by the Corporation at the national level.

(e) Grantees must cooperate fully with all Corporation evaluation activities.

§ 2522.720 How many years must my evaluation cover?

(a) If you are a State formula grantee, you must conduct an evaluation, as your State commission requires.

(b) If you are a State competitive or direct Corporation grantee, your evaluation must cover a minimum of one year but may cover longer periods.

§ 2522.730 How and when do I submit my evaluation to the Corporation?

(a) If you are an existing grantee recompeting for AmeriCorps funds for the first time, you must submit a summary of your evaluation efforts or plan to date, and a copy of any evaluation that has been completed, as part of your application for funding.

(b) If you again compete for AmeriCorps funding after a second three-year grant cycle, you must submit the completed evaluation with your application for funding.

§ 2522.740 How will the Corporation use my evaluation?

The Corporation will consider the evaluation you submit with your application as follows:

(a) If you do not include with your application for AmeriCorps funding a summary of the evaluation, or the evaluation itself, as applicable, under § 2522.730, the Corporation reserves the right to not consider your application.

(b) If you do submit an evaluation with your application, the Corporation will consider the results of your evaluation in assessing the quality and outcomes of your program.

■ 8. Add subpart F to part 2522 consisting of § 2522.900 through § 2522.950, to read as follows:

Subpart F—Program Management Requirements for Grantees

Sec.

2522.900 What definitions apply to this subpart?
2522.910 What basic qualifications must an AmeriCorps member have to serve as a tutor?
2522.920 Are there any exceptions to the qualifications requirements?
2522.930 What is an appropriate proficiency test?
2522.940 What are the requirements for a program in which AmeriCorps members serve as tutors?
2522.950 What requirements and qualifications apply if my program focuses on supplemental academic support activities other than tutoring?

Subpart F—Program Management Requirements for Grantees

§ 2522.900 What definitions apply to this subpart?

Tutor is defined as someone whose primary goal is to increase academic achievement in reading or other core subjects through planned, consistent, one-to-one or small-group sessions and activities that build on the academic strengths of students in kindergarten through 12th grade, and target their academic needs. A tutor does not include someone engaged in other academic support activities, such as mentoring and after-school program support, whose primary goal is something other than increasing academic achievement. For example, providing a safe place for children is not tutoring, even if some of the program activities focus on homework help.

§ 2522.910 What basic qualifications must an AmeriCorps member have to serve as a tutor?

If the tutor is:	Then the tutor must meet the following qualifications:
(a) Is considered to be an employee of the Local Education Agency or school, as determined by State law.	Paraprofessional qualifications under No Child Left Behind Act, as required in 34 CFR 200.58
(b) Is not considered to be an employee of the Local Education Agency or school, as determined by State law.	(1)(i) High School diploma or its equivalent, or a higher degree OR (ii) Proficiency test, as described in § 2522.930 of this subpart; and (2) Successful completion of pre- and in-service specialized training, as required in § 2522.940 of this subpart.

§ 2522.920 Are there any exceptions to the qualifications requirements?

The qualifications requirements in § 2522.910 of this subpart do not apply to a member who is a K–12 student tutoring younger children in the school or after school as part of a structured, school-managed cross-grade tutoring program.

§ 2522.930 What is an appropriate proficiency test?

(a) If a member serving as a tutor does not have a high-school diploma or its equivalent, or a higher degree, the member must pass a proficiency test that the program has determined effective in ensuring that members serving as tutors have the necessary skills to achieve program goals.

(b) The program must maintain in the member file of each member who takes the test documentation on the proficiency test selected and the results.

§ 2522.940 What are the requirements for a program in which AmeriCorps members serve as tutors?

A program in which members engage in tutoring for children must:

(a) Articulate appropriate criteria for selecting and qualifying tutors, including the requirements in § 2522.910 of this subpart;

(b) Identify the strategies or tools it will use to assess student progress and measure student outcomes;

(c) Certify that the tutoring curriculum and pre-service and in-service training content are high-quality and research-based, consistent with the instructional program of the local educational agency or with State academic content standards;

(d) Include appropriate member supervision by individuals with expertise in tutoring; and

(e) Provide specialized high-quality and research-based, member pre-service and in-service training consistent with the activities the member will perform.

§ 2522.950 What requirements and qualifications apply if my program focuses on supplemental academic support activities other than tutoring?

(a) If your program does not involve tutoring as defined in § 2522.900 of this subpart, the Corporation will not impose the requirements in § 2522.910 through § 2522.940 of this subpart on your program.

(b) At a minimum, you must articulate in your application how you will recruit, train, and supervise members to ensure that they have the qualifications and skills necessary to provide the service activities in which they will be engaged.

PART 2540—GENERAL ADMINISTRATIVE PROVISIONS

■ 1. The authority citation for part 2540 is revised to read as follows:

Authority: EO 13331, 69 FR 9911.

■ 2. Amend § 2540.100 by redesignating paragraphs (f)(2) through (f)(5) as (f)(3) through (f)(6) respectively, and adding a new paragraph (f)(2) to read as follows:

§ 2540.100 What restrictions govern the use of Corporation assistance?

* * * * *

(f) * * *

(2) An organization may not displace a volunteer by using a participant in a program receiving Corporation assistance.

* * * * *

PART 2550—REQUIREMENTS AND GENERAL PROVISIONS FOR STATE COMMISSIONS AND ALTERNATIVE ADMINISTRATIVE ENTITIES

■ 1. Revise the heading of part 2550 to read as set forth above.

■ 2. The authority citation for part 2550 is revised to read as follows:

Authority: 42 U.S.C. 12638.

■ 3. Amend § 2550.10 as follows:

■ a. By revising paragraph (b);

■ b. By revising paragraph (c);

■ c. By revising the last sentence of paragraph (d).

The revisions read as follows:

§ 2550.10 What is the purpose of this part?

* * * * *

(b) To be eligible to apply for program funding, or approved national service positions, each State must establish a State commission on national and community service to administer the State program grant making process and to develop a State plan. The Corporation may, in some instances, approve an alternative administrative entity (AAE).

(c) The Corporation will distribute grants of between $125,000 and $750,000 to States to cover the Federal share of operating the State commissions or AAEs.

(d) * * * This part also offers guidance on which of the two State entities States should seek to establish, and it explains the composition requirements, duties, responsibilities, restrictions, and other relevant information for State commissions and AAEs.

§ 2550.20 [Amended]

■ 4. Amend § 2550.20 by removing paragraph (o).

■ 5. Amend § 2550.30 by revising the section heading to read as set forth below, removing paragraphs (c) and (d), and redesignating paragraph (e) as paragraph (c).

§ 2550.30 How does a State decide whether to establish a State commission or an alternative administrative entity?

* * * * *

§ 2550.40 [Amended]

■ 6. Amend § 2550.40 by removing paragraph (c).

§ 2550.70 [Removed and reserved]

■ 7. Remove and reserve § 2550.70.

■ 8. Amend § 2550.80 as follows:

■ a. Revise the first two sentences of the introductory text; and

■ b. Revise paragraph (j) to read as follows:

§ 2550.80 What are the duties of the State entities?

Both State commissions and AAEs have the same duties. This section lists the duties that apply to both State commissions and AAEs—collectively referred to as State entities. * * *

* * * * *

(j) *Activity ineligible for assistance.* A State commission or AAE may not directly carry out any national service program that receives financial assistance under section 121 of the NCSA or title II of the DVSA.

* * * * *

Dated: June 28, 2005.

David Eisner,

Chief Executive Officer.

[FR Doc. 05–13038 Filed 7–1–05; 8:45 am]

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CHAPTER 4
FINANCIAL MANAGEMENT

A. INTRODUCTION

Finance can be defined as the art and science of managing money. For those who work with government programs, a deeper understanding of financial management principles will allow them to make better financial decisions. All programs benefit when they have a financially knowledgeable staff involved in the day-to-day operations of the program. A knowledgeable staff, trained to see the total picture, will make better financial decisions than those who do not understand the purpose of daily financial tasks. In financial management, "it's not just *how* we do the job, but also *why* we do things that is important."

Program success is often measured by the accomplishment of its goals. Successfully managing the program's financial resources maximizes the amount and availability of funds to accomplish these goals. These two perspectives are linked together.

A total financial management system consists of three major elements or functions.

1.) First, the budget process. Budgeting is the appropriating of fiscal resources to accomplish program goals and objectives within a single year's period of time.

2.) Second is the accounting for these resources. The purpose for accounting is to identify and report all revenues and expenditures that occur during the current year and reporting this information to all interested parties.

3.) Third is auditing. An audit examines the year's activities to ensure compliance with the regulations about how money was expended, what money was spent, and to determine whether proper controls were in operation to safeguard these assets.

NOTES

The Finance Department is responsible for the accounting process, or the identification of all monies received and expended during the fiscal year. These receipts and expenditures are compared to the budget, and reported to the Program Director and Tribal Administrators so they can make corrective decisions on the delivery of services to meet program goals. The monthly revenue and expenditure reports must be accurate and timely in order to provide the Program Director with the information needed to make decisions. Likewise, granting agencies also require financial reports to evaluate the progress on meeting the outcome expectations of the grant. Therefore, one of the most important outcomes from financial management is the providing of accurate and timely information for decision-making. This is a critical function.

The Corporation for National and Community Service is a strategic partner with tribal government. They assist the tribe in providing services that usually could not be provided without the assistance of the grant. However, part of the agreement requires the tribe to agree to do things that the granting agency wants in order to meet the agency goals and objectives and protect government assets. Therefore, both the tribe and the Corporation for National and Community Service must work cooperatively in order for each to accomplish its goals and tribes must be able to meet the financial management requirements.

Financial management is an important part of every successful program and good financial management increases the success of the program. While financial management may focus upon numbers, its outcome results in better services to individual tribal members.

B. FINANCIAL ASSISTANCE RULES, 45 CFR PART 2541

The Financial Assistance Rules, 45 CFR Part 2541, established uniform policies and procedures for State and Governmental units for the award and administration of grants and subgrants. The four major subparts are as follows.

1. Subpart A - General
2. Subpart B - Pre-Award Requirements
3. Subpart C - Post-Award Requirements
4. Subpart D - After-The-Grant-Requirements

NOTES

SUMMARY OF APPLICABLE SECTIONS
This is only a summary. If a question arises, refer to this complete 45 CFR Part 2541 for the specific regulation.

PRE-AWARD REQUIREMENT

1. SECTION 2541.100: GRANT APPLICATION

REQUIREMENTS
This section prescribes the forms and instructions to be used in applying for federal financial assistance.

Applicants are not required to submit more than the original and two copies of pre-applications and applications.

For amendments to a previously submitted application, only the affected pages need to be submitted.

2. SECTION 2541.120: SPECIAL RESTRICTIVE CONDITIONS OF AWARDS

REQUIREMENTS
Defines under what circumstances a grantee or subgrantee will be considered high-risk: a history of unsatisfactory performance, financial instability, a management system that does not meet standards, nonconformance in prior awards, or not otherwise responsible.

Awarding agency will provide a written explanation of conditions and corrective action.

POST-AWARD REQUIREMENT

3. SECTION 2541.200: FINANCIAL MANAGEMENT STANDARDS

REQUIREMENTS
Financial management systems must meet the following minimum standards:

NOTES

- Provide for accurate, current, and complete disclosure of all financial activities.
- Maintain records that identify the source and application of funds.
- Maintain effective control and accountability for all grant cash, property, and other assets.
- Compare actual expenditures with budgeted amounts on a periodic basis.
- Determine allowable costs by OMB cost principles, program regulations, and grant agreement.
- Have accounting records supported by source documentation.
- Have procedures to minimize the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by the subgrantee.
- The adequacy of the financial management system may be assessed as part of a pre-award review.

4. SECTION 2541.210: PAYMENT

REQUIREMENTS

All methods and procedures for payment shall minimize the time elapsing between the transfer of funds and disbursement by the subgrantee.

The methods that can be used are:

- Advances (for grantees and subgrantees if they meet standards.)
- Reimbursements (when requirements are not met or for construction contracts.)
- Working capital advances (if a subgrantee cannot meet the criteria for advance payments.)

Recipients must also expend program income, refunds, and audit recoveries before requesting additional federal cash payments.

Payments cannot be withheld unless:

- Recipient has failed to comply with grant award conditions.
- Recipient is indebted to the United States.

- Recipients are encouraged to use minority-owned banks.

NOTES

- The use of a separate bank account can be required through Federal-State agreement.
- The grantee/subgrantee may keep up to $100 interest for administrative expenses.

5. SECTION 2541.240: MATCHING OR COST SHARING

REQUIREMENTS
Tribes will comply with the Office of Management and Budget Circular A-87.

6. SECTION 2541.230: PERIOD OF AVAILABILITY OF FUNDS

REQUIREMENTS
Where a funding period is specified, a grantee may charge to the award only costs resulting from obligations during the funding period, unless carry over of unobligated balances is permitted.

A grantee must liquidate all obligations incurred under the award not later than 90 days after the end of the funding period.

7. SECTION 2541.240: MATCHING OR COST SHARING

REQUIREMENTS
All contributions, including cash and in-kind, shall be accepted as part of recipient's cost sharing or matching if they:

- are verifiable through records,
- are not counted for other federal programs,
- are necessary for the completion of the project,
- are allowable under the cost principles,
- are not paid by other federal funds (unless approved by statute),
- are provided for in the approved budget, and
- conform to other provisions of the financial management circulars.

8. SECTION 2541.250: PROGRAM INCOME

REQUIREMENTS

NOTES

Program income is gross income generated by a grant supported activity, or earned only as a result of the grant agreement during the grant period.

The methods for treatment of program income include:

- Addition
- Deduction
- Cost Sharing or Matching

Unless authorized by Federal regulations or the grant agreement, program income will be treated as gross program income. Unless authorized, program income shall be deducted from the total allowable costs.

There are no Federal requirements governing the disposition of program income earned after the end of the award period unless the regulations or agreement states differently.

9. SECTION 2541.260: NON-FEDERAL AUDIT

REQUIREMENTS:
State and local governments will be subject to the audit requirements in OMB A-133 Audits of State and Local Governments.

SECTION 2541.300: BUDGET AND PROJECT REVISIONS

REQUIREMENTS:
Recipients are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and make very limited program changes.

The applicable cost principles that require prior approval shall apply.

Prior approval is required based on specific clauses within the grant agreement and in the following instances where:

- A revision would result in the need for additional funds;
- Cumulative transfers would exceed 10% of the total budget if the grant is over $100,000;

NOTES

- Funds allotted for training were transferred;
- There is a revision in the scope of objectives;
- There is a need to extend the period of availability of funds;
- There is a change in key persons who are central to the purpose of the project;
- There is a need for additional funding; or
- Grantee contracts out any of the key activities central to the purpose of the award.

Requests for prior approval will use the same format as the application. The approval must be in writing.

11. SECTION 2541.310: REAL PROPERTY AND EQUIPMENT

REQUIREMENTS:
Real property means land and structures.

- Title to real property will vest with the grantee or subgrantee.
- The awarding agency will provide instructions for disposition of real property when it is no longer needed.
- Equipment is defined as tangible, nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.
- Title to equipment acquired under a grant or subgrant will vest with the grantee or recipient unless specified.
- Equipment shall be used for the program or project for which it was acquired. The equipment may be used for other federally supported projects if it does not interfere with the project for which it was originally acquired.
- If replacement equipment is needed, the equipment to be replaced may be used as a trade-in.
- The property management requirements include the following:

    - Property records must include a description, serial number, source, title, cost, acquisition date, and percent of Federal participation, location, use, condition, and ultimate disposition.
    - A physical inventory must be performed at least every two years.

NOTES

- A control system must be in place to ensure safeguards against loss, damage, or theft.
- Adequate maintenance procedures must be observed.
- Proper sales procedures must be followed. Items with a fair market value (F.M.V.) of $5,000 or less that are no longer needed can be disposed of with no further obligations. Items over $5,000 F.M.V. require the awarding agency to receive its fair share.

Federally owned equipment requires a recipient to submit an annual inventory listing. When the equipment is no longer needed a subgrantee will request disposition instructions from the Federal agency.

12. SECTION 2541.330: SUPPLIES

REQUIREMENTS
Title to supplies acquired under an award will vest with the recipient.

If there is a residual inventory of unused supplies exceeding $5,000 in total fair market value upon termination or completion of the award, and if the supplies are not needed for any other federally sponsored programs the recipient shall compensate the awarding agency for its share.

13. SECTION 2541.260: PROCUREMENT

REQUIREMENTS
Grantees must meet the following standards:

- There must be a contract administration system.
- There must be a written code of standards of conduct governing the grantee or subgrantee's employees.
- Procedures must exist that avoid the purchase of unnecessary or duplicative items.
- Grantees are encouraged to enter into State and locate inter-governmental agreements for purchasing common goods and services.
- Grantees are encouraged to use Federal excess and surplus property.
- Procedures must be followed that ensure awards are made only to responsible contractors.
- Records must detail the significant history of a procurement.

NOTES

- Grantees must settle all contractual and administrative issues arising out of procurement.
- Grantees will have protest procedures.

All procurement transactions will be conducted in a manner providing full and open competition. There must be written selection procedures. Also, the solicitation must include a clear and accurate description of the service or material being procured. The approved methods of procurement are:

- Small purchase procedures for services and goods that will not cost more than $25,000 in the aggregate.
- Sealed bids (formal advertising).
- Competitive proposals.
- Non-competitive proposals may only be used when the item is available from one source, in emergency situations, when authorized by the awarding agency, or when competition is determined to be inadequate. Pre-award review may be required above $25,000.

Grantees are to give preference to minority firms, women's business enterprises, and labor surplus area firms.

There must be a cost or price analysis in connection with every procurement action.

Grantees must make proposed procurement technical specifications available upon request by the awarding agency.

The bonding requirements of a recipient will be accepted if the awarding agency's interest is adequately protected. If not, there are specific requirements described in 45 CFR Part 92.

14. SECTION 2541.400: PERFORMANCE REPORTS

REQUIREMENTS

Performance reports shall not be required more frequently than quarterly or, less frequently than annually.

NOTES

Periodically report progress in meeting program objectives. This must include comparison of accomplishments with planned objectives.

Quarterly and semi-annual reports will be due 30 days after the reporting period. Annual and final reports will be due 90 days after expiration date.

15. SECTION 2541.410: FINANCIAL REPORTING

REQUIREMENTS
Reports, as required in the terms and conditions of the award, will be submitted on one or more of the following forms:

- SF 269 or SF 269A - Financial Status Report
- SF 270 - Request for Advance or Reimbursement
- SF 272 - Federal Cash Transaction Report

The report will not be required more frequently than quarterly and must be submitted 30 days after the report period or 90 days for a final report.

16. SECTION 2541.420: RECORDS RETENTION

REQUIREMENTS
Grantee and subgrantees must retain records for three years after submitting the final expenditure report.

Records must be maintained until completion of action on all litigation, claims, negotiation, or audit. For property and equipment the retention period starts upon disposition.

AFTER THE GRANT REQUIREMENT

17. SECTION 2541.500: CLOSE-OUT

REQUIREMENTS
The Federal agency will require the following final reports:

- Standard Form 269 - Financial Status Report

NOTES

- Standard Form 270 - Request for Advance or Reimbursement, if applicable
- Final performance or progress report

The recipient will submit an invention disclosure, if applicable.

The recipient will submit a federally-owned property report.

Cost and cash adjustments will be made as appropriate.

C. COST PRINCIPLES

45 C.F.R. Part 2541 requires grant recipients to follow the OMB cost principles for State and Governmental units contained in OMB A-87 which set forth the principles for determining the allowable costs of programs under grants, contracts, and cooperative agreements with the federal government.

The cost principles address four major areas:

1. Basic Guidelines for Costs
2. Cost Allocation Plan
3. Indirect Cost
4. Allowability for selected costs

1. BASIC GUIDELINES FOR COSTS

- Costs are allowable if they are necessary and reasonable, not prohibited under state or local laws, conform to laws and regulations, given consistent treatment, comply with generally accepted accounting principles, and are not included as a cost under other federal programs.

- Allocable costs assigned must be in proportion to the benefits received, cannot be shifted to overcome deficiencies in other programs, and must be supported by a cost allocation plan.

- Applicable credits are to be used to reduce expenditures applicable to a given grant.

NOTES

- The total cost of a grant program consists of the allowable direct and allowable indirect costs less applicable credits.

2. COST ALLOCATION PLAN

Cost allocation plans are addressed in OMB A-87. Costs incurred by a tribe in connection with programs are eligible charges against grants and contracts, whether incurred by the program itself or another program that provided supportive services to the program, so long as the costs are necessary for the efficient conduct of the grant or contract.

The cost principles are the federal regulations which must be followed to insure that federally assisted programs incur costs in a manner that assures that each program pays its fair share of costs recognized under these principles, except where restricted by law.

Costs can be shared within the same funding source as well as between funding sources depending on the specific requirements of each funding source.

Allocation of Costs. The tribal finance department is responsible for the development and implementation of cost allocation plans. The tribal procedure for the development of a cost allocation is typically:

3. INDIRECT COSTS

Indirect costs are those incurred for a common purpose benefiting more than one program and not readily assignable to the program specifically benefited. All indirect costs must be negotiated with a cognizant agency. The cognizant agency is the federal agency responsible for negotiating and approving indirect cost rates on behalf of all federal agencies.

An indirect cost rate is the rate between total indirect expenses of the Agency and some direct cost base. This includes either direct salaries and wages or total direct costs exclusive of capital expenditures. The rules for indirect costs are outlined below:

NOTES

- Indirect costs are shared costs, to be distributed by an indirect cost rate, which must be grouped into one or more equitable cost pools to determine appropriate rate(s).

- A formal indirect cost proposal must be submitted and approved. Once approval is granted, charges can then be distributed by means of an indirect cost rate.

- Application of indirect cost rates must be supported by formal accounting records available for auditing.

- Indirect costs (or administrative costs) are no different than direct costs in that they have to be allowable under the federal government cost principles.

In theory, all costs might be charged directly; practical difficulties, however, preclude such an approach. Therefore, indirect costs are usually grouped into a common pool(s) and distributed to those activities benefited through a cost allocation process.

4. ALLOWABILITY OF SELECTED COSTS

The chart on the following pages is a quick reference to specific items of cost and identifies the cost as allowable, allowable with approval of the grantor agency, or unallowable.

NOTES

OMB COST PRINCIPLES - Selected Items of Cost

Cost Category	A-87 State & Local Governments (Proposed Revision)	Allowable	Allowable With Approval	Not Allowable
Accounting	X	X		
Advertising - Specific Purchases	X	X		
Advisory Council	X	X		
Alcoholic Beverages				X
Audit Services	X	X		
Automatic data processing	X		X	
Bad Debts	X			X
Bid and proposal costs (reserved)				
Bonding Costs	X	X		
Budgeting	X	X		
Building lease and management	X	X		
Communication costs	X	X		
Compensation for personal services	X	X		
Contingency provisions	X			X
Contributions	X			X
Defense and Prosecution Read Allowability	X			
Depreciation of use allowance	X	X		
Disbursing services	X	X		
Donations				X
Employee morale, health and welfare costs and credits	X	X		
Entertainment costs	X			X

OMB COST PRINCIPLES - Selected Items of Cost

Cost Category	A-87 State & Local Governments (Proposed Revision)	Allowable	Allowable With Approval	Not Allowable
Equipment and other capital expenditures	X		X	
Fines and penalties	X			X
Fringe benefits	X	X		
General government expenses	X			X
Goods/services for personal use				X
Housing and personal living expenses				X
Lobbying	X			X
Idle facilities and idle capacity	X		X	
Independent research and development (reserved)				
Insurance and indemnification	X	X		
Interest, fund-raising, and investment management costs - read the regulations	X			X
Labor relations costs		X		
Legal expenses	X	X		

OMB COST PRINCIPLES - Selected Items of Cost

Cost Category	A-87 State & Local Governments (Proposed Revision)	Allowable	Allowable With Approval	Not Allowable
Losses on other awards	X			X
Maintenance and repair costs	X	X		
Materials and supplies	X	X		
Meetings, conferences	X	X		
Memberships, subscriptions and professional activity costs	X	X		
Motor pools	X	X		
Organization costs			X	
Overtime, extra pay, shift and multi-shift premiums	X	X		
Page charges in professional journals		X		
Participant support costs			X	
Patent costs		X		
Payroll preparation	X	X		
Pension plans	X	X		
Personnel administration	X	X		
Plant security costs		X		
Pre-award costs	X		X	

OMB COST PRINCIPLES - Selected Items of Cost

Cost Category	A-87 State & Local Governments (Proposed Revision)	Allowable	Allowable With Approval	Not Allowable
Professional costs	X	X		
Profit and losses on disposition of depreciable property or other capital assets	X	X		
Proposal costs	X		X	
Publication and printing costs	X	X		
Rearrangement and alteration costs	X		X	
Reconversion costs	X	X		
Recruiting costs		X		
Relocation costs – subject to limitations		X		
Rental costs	X	X		
Royalties and other costs for use of patents and copyrights		X		
Severance pay	X	X		
Specialized service facilities		X		
Taxes	X	X		
Termination costs		X		
Training and education costs	X	X		
Transportation costs	X	X		
Travel costs	X	X		
Trustee Travel and Subsistence		X		
Under recovery	X			X

D. AUDIT

Audits provide a thorough analysis of the documentation used to prepare financial data and are used by Certified Public Accountants (CPAs) to prepare an opinion on the financial data's reliability. The federal government requires an audit to obtain independent assurance on the completeness and credibility of the financial information of governmental units and organizations.

Recipients of federal grant awards over $500,000 from all federal agencies are required to have an audit by an independent Certified Public Accountant. The government audit requirements are contained in OMB A-133. The OMB Circulars establish the audit requirements and define the federal responsibility for implementing and monitoring the requirements. The audit determines:

- If the tribe's financial statements present its and the program's financial position fairly;
- If the tribe has the internal control structure to ensure that the program is managing the award in accordance with the applicable federal laws and regulations; and
- That the program has complied with the applicable laws and regulations that may have a direct and material effect on the program's financial statement.

The audit is simply an evaluation of the financial management of the government/department/ organization. It informs administration how the financial resources are being managed. It also informs funding sources about the management of the resources.

NOTES:

E. BUDGET DEVELOPMENT AND MANAGEMENT

The budget is the dollar expression of the project being proposed. It is an estimate of the expenses that you anticipate. It is important to work with the tribal finance department in preparing the budget. The budget management process should be integrated into the overall program planning and management. Detailed below are the steps in the budget management process:

1. Determine needs of the community being served.
2. Set program goals and objectives
3. Determine the strategy for accomplishing objectives.
4. Translate the strategy to dollars and prepare a budget.
5. Setup budget control procedures.
6. Accumulate monthly expenditures.
7. Compare budgeted amounts to actual expenditures and make the appropriate adjustments.

In developing the budget for an AmeriCorps program a logical process to follow would be to:

1. Determine the total number of members needed to accomplish the program objectives. The members would be categorized as follows:

   - Full-time members
   - Part-time members
   - Education award only

2. Calculate the dollar value for the living allowance for the number of planned members.

NOTES:

3. Calculate the following costs that need to be incorporated into the member support costs.

   - FICA. Under federal law, the FICA payment rate is 15.3% of the living allowance. Half (7.65%) is paid by the program and half is deducted from the member's living allowance.
   - Worker's Compensation. The program will follow the tribal policy for worker's compensation.
   - Insurance. The tribe must provide a health care policy to full-time members not otherwise covered by a health care policy.

4. Determine program operations costs which could include but are not limited to the following:

   - Staff positions
   - Space
   - Telephone
   - Supplies
   - Equipment
   - Travel
   - Training and education
   - Service gear
   - Printing/Xerox
   - Postage
   - Vehicle Operation

It is very important to identify each type of cost that will be necessary to operate the program. After each of the costs has been identified, review the OMB cost principles to ensure that the costs are allowable or allowable with prior approval.

NOTES:

5. Calculate the federal share of the member support costs. This is a maximum of 85% of the total cost for member support. Calculate the tribal share of the member support costs, which is a minimum of 15%. The tribal share must be cash.

   If the tribe does not have the cash resources to meet the tribal share, it can request a waiver from the Corporation.

6. Calculate the federal share of the total operating costs. The federal share is a maximum of 67% of the total operating costs. Calculate the tribal share of the operating costs which is a minimum of 33%.

7. Calculate the administrative costs for the program. The Corporation's share of the administrative costs cannot exceed 5% of the total Corporation funds. To arrive at this number multiply the sum of the member support costs and the operating costs by 5.26%. The tribe's match for administrative costs may not exceed 10% of all direct cost expenditures. If the tribe wants to claim more than the 10% match in administrative costs, it must have an approved indirect cost rate.

   The AmeriCorps Budget Form is located on pages 28 and 29.

8. Develop the budget narrative. The budget narrative should include sufficient information to justify the costs. Examples of the information that could be included in the budget narrative are:

   - *Wages and Salaries*. In this section list all full and part-time staff in the proposed project, the number of hours to be worked, and the percentage of time they will work on the project, and the rate per hour.

   - *Fringe Benefits*. In this section list all the fringe benefits your employees will be receiving, and the dollar cost of these benefits. Some fringe benefits are mandatory; the tribal finance department will be able to help with the numbers.

NOTES:

In the following section you include consultants and services you contract out. An example might be a consultant to perform an evaluation of the project.

a. Consultants & Contract Services

b. Space Costs
In this section list all of the facilities you will be using. Rent must be comparable to prevailing rents in the geographic area in which you are located. In addition to the actual rent, you should also include the cost of utilities and maintenance services, and renovations, if they are absolutely essential to your program.

c. Rental, Lease or Purchase of Equipment
List all the equipment to be purchased that will be used in the proposed program.

d. Consumable Supplies
This means supplies such as paper clips, paper, pens, pencils, and the like. If you have any unusual needs for supplies – perhaps you are making a workroom available for community persons –put in a separate figure for that.

e. Travel
Divide the section into local and out-of-town travel. Do not put in a large lump-sum which will require interpretation or raise a question at the funding source. List the trips, the purpose of the trips and the estimated cost for each trip.

f. Telephone
Put in the number of instruments you will need times the expected monthly cost per instrument. Justify any extensive out-of-town calling that you will have to do.

g. Other Costs.

NOTES:

List each of the other costs necessary for performing the project and include the method of determining the amount budgeted.

At the end of the budget narrative include a chart that indicates the source and estimated amount of the match. An example would be space costs. The source would be the tribe, providing 1,500 square feet of office space at a cost of $5 per square foot.

The next important function of budget management is to compare the approved budget to the actual expenditures or a periodic basis. Most programs review the expenditures against the budgeted amounts monthly. The earlier a program makes the correction, the smoother the project will flow if a budget revision is necessary.

Page 30 shows a sample budget and accompanying narrative.

F. IN KIND DOCUMENTATION

In-kind contributions to the program are considered matching funds and need to be documented and tracked for each budget line item. Programs should use an in-kind donation form that captures this information. For example, if a trainer who normally charges $100 for 2 hours of training, donates his time to conduct the training, this should be documented as in-kind match. You can use the example attached. The form should capture the date, time, fee, donor signature, type of service/contribution, and the corresponding line item in the budget. The original copy of the in-kind form should be maintained in the finance office with a copy in the program files. Check with your finance department to see how they would like you to document and file completed in-kind forms. Following is a step-by-step process for documenting in-kind goods and services. In addition, a sample in-kind contribution form for services and a separate form for goods follow.

Program staff records the following information for in-kind services:

NOTES:

- Date service provided.
- A description of the service provided.
- The time the donor began the service.
- The time the donor finished donating time.
- The per hour value of the service provided.
- The total value of the donated time.
- Initial each day that time was donated to the program.
- Be sure the donor signs the in-kind services form.
- Submit the completed form to whoever maintains the budget.

Program staff records the following information for in-kind goods:

- Date when the item was donated to the Program.
- A description of the item donated.
- The fair market value of the item donated.
- Secure the signature of the individual donating the goods.
- Submit the forms to the tribe on a monthly basis.

The program director reviews all in-kind donation forms, verifies the dollar value of in-kind goods and services, and submits the originals to the finance department who enters the dollar value of the in-kind goods and services receipts into the appropriate accounting records.

ADDITIONAL INFORMATION

- Volunteer time cannot be counted as an in-kind donation unless it is a specific service that the donor is normally paid for. For example, a trainer who donates CPR lessons may be considered an in-kind donation, whereas volunteer tutors' time may not.

NOTES:

- All in-kind goods and services must come from a source that is not supported with federal dollars unless specifically allowable under the funding source legislation.
- The allowable in-kind goods and services that can be used to meet a required match must fall within the allowable budget line items for the Program receiving the goods and services.
- The AmeriCorps program will maintain a copy of the source documentation for all in-kind goods and services.

NOTES:

SAMPLE FORMS

Form 1

AMERICORPS PROGRAM
IN-KIND GOODS

DATE	ITEM DONATED	TOTAL VALUE

I certify that the above items were donated to the AmeriCorps Program

Typed/Printed Name

Date

Donor Signature

Program Director Signature

Form 2

AMERICORPS PROGRAM
IN-KIND SERVICES

DATE	ACTIVITIES	IN	OUT	TOTAL HOURS	RATE/ HOUR	TOTAL VALUE	INITIALS

I certify that the above services were donated to the AmeriCorps Program

Typed/Printed Name

Date

Donor Signature

Program Director Signature

AmeriCorps Budget Worksheet

Section I. Program Operating Costs

A. Personnel Expenses

Position/Title/Description	Qty	Annual Salary	% Time	Total Amount	CNCS Share	Grantee Share
			Totals			

B. Personnel Fringe Benefits

Purpose/Description	Calculation	Total Amount	CNCS Share	Grantee Share
	Totals			

C.1. Staff Travel

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share
	Totals			

C.2. Member Travel

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share
	Totals			

D. Equipment

Item/Purpose/Justification	Qty	Unit Cost	Total Amount	CNCS Chare	Grantee Share
		Totals			

E. Supplies

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share
	Totals			

F. Contractual and Consultant Services

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

G.1. Staff Training

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

G.2. Member Training

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

H. Evaluation

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

I. Other Program Operating Costs

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

Subtotal Section I:	Total Amount	CNCS Share	Grantee Share

J. Source of Match

Source(s), Type, Amount, Intended Purpose				
In-Kind	Private	State and/or Local	Federal	Sources
	$	$	$	Pro bono legal services From Name:
Cash	$	$	$	ABC Foundation, State Of A, and Federal Grant From ABC Agency
Total	$	$	$	

Section II. Member Costs

A. Living Allowance

Item	**Mbrs.**	**Allowance Rate**	**w/o Allowance**	**Total Amount**	**CNCS Share**	**Grantee Share**
Full Time (1700 hrs)						
Half Time (900 hrs.)						
1st Year of 2-Year Half Time						
2nd Year of 2-Year Half Time						
Reduced Half Time (675 hrs)						
Quarter Time (450 hrs)						
Minimum Time (300 hrs)						
			Totals			

B. Member Support Costs

Purpose	Calculations	Daily Rate	Total Amount	CNCS Share	Grantee Share
		Totals			

	Total Amount	CNCS Share	Grantee Share
Subtotal Section I:			
Subtotal Sections I + II:			

C. Source of Match

Source(s), Type, Amount, Intended Purpose				
In-Kind	Private $	State and/or Local $	Federal $	Sources Pro bono legal services From Name:
Cash	$	$	$	ABC Foundation, State Of A, and Federal Grant From ABC Agency
Total	$	$	$	

Section III. Administrative/Indirect Costs

A. Corporation Fixed Percentage Method

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share
Subgrantee Share				
Commission Share				
	Totals			

B. Federally Approved Indirect Cost Rate Method

	Cost Type	**Basis**	**Calculation**	**Rate**	**Rate Claimed**	**Total Amount**	**CNCS Share**	**Grantee Share**
Subgrantee Share								
Commission Share								
					Totals			

Total Sections I + II + III:	Total Amount	CNCS Share	Grantee Share

Budget Total: Validate this budget Requir3ed Match Percentages:	Total Amount	CNCS Share	Grantee Share

SAMPLE

G. AMERICORPS BUDGET NARRATIVE

Corporation Share

A. Member Support Costs. The total number of one-year full time members requested is twenty. The planned stipend for each member is $9,300 per year. The other member support costs include:

- *FICA*. FICA is budgeted at 7.65% of the total stipend that is required by federal law.
- *Workers' Compensation*. The planned cost for workers' compensation is 3% of the total stipend.
- *Health Insurance*. The cost per corps member per year is $1,000.

B. Other Member Support Costs. The planned costs include:

- *Training*. Each corps member will receive first aid and CPR training. The training is required because the location of the sites is remote and the advanced age of the populations with which the corps members will be working. The cost for CPR training is $100 per member and the cost for First Aid training is $250 per member. The other training will be identified after corps members have been recruited. The total amount budgeted for each corps member is $750. An individual development plan (IDP) and an individualized training plan will be completed for each corps member upon enrollment. The cost will be included in each IDP.

C. *Staff*. The planned staff for the project is a Project Director and Project Coordinator. The Project Director will be responsible for the overall management of the program to include staff supervision, development of community service projects, and site liaison. The amount of time allocated for the Project Director is 25% FTE. The Project Coordinator will be responsible for conducting the day to day activities which will include working with each site in the community, project development and deployment, planning, conducting the training of corps members, training site supervisors, documenting activities and preparation of all reports. The amount of time allocated for the Project Coordinator is 100% FTE.

NOTES:

D. Other Operating Costs

- *Travel*. The planned use of travel is for the Project Coordinator to attend one, out-of-area training. The specific location of the training has not been identified at this time.

- *Corporation-Sponsored Training*. The Project Director and the Project Coordinator will attend the national conference sponsored by the Corporation for National and Community Service.

- *Supplies*. The supply allocation was calculated at $100 per month for each of the four sites. The anticipated supplies include consumables, small tools, work gloves, and so forth, to perform the activities of the work plan.

- *Local Transportation*. The amount budgeted is $200 per month for vehicle operating expenses for each site. The local transportation is required to transport corps members to and from work locations. In addition, $200 per month has been allocated for the Project Coordinator to travel to each of the four sites to monitor activities and provide training and support to the corps members.

- *Equipmen*t. No funds budgeted.

- Other

- *Telephone*. The amount allocated for telephone is $50 per month. This is based on past experience in working with programs with similar scopes of work.

- Printing/*Xerox*. The amount budgeted is $1,400, calculated on the projected number of copies for routine correspondence and reporting to the Corporation, correspondence with sites, and copying of training materials for corps member training.

E. Evaluation. The program has budgeted $2,000 for an external evaluation of management and operations. The evaluation plan has three phases, with the initial evaluation at 6 months, a second review at 9 months, and the final evaluation

NOTES:

at 12 months. The individual/company to perform the evaluation has not been identified at this time.

F. Administration. The amount is 5% of all costs.

Tribal Share

A. *Staff*. The grantee share is the time allocated by each of the four site supervisors to supervise the corps members. The appropriate benefits including FICA and workers compensation have been applied to the direct salary costs. Each site supervisor will contribute 25% of time to the supervision of corps members.

B. *Supplies*. The supplies will be contributed to the project by the host tribes. The supplies will include but not be limited to hand tools, materials, and other items necessary to perform the work activities.

C. *Local Transportation*. The amount is the cost to lease a van at two host tribes 25% of time. The tribe will donate the cost of the van lease to the project.

NOTES:

D. Other Operating Costs

- *Telephone*. The host tribes will donate the cost of the telephone for the corps members at their site. The cost was estimated at $25 per month per site.

- *Training Facility*. Each of the host tribes will donate the cost of the training facility for the monthly training of corps members at their site. The cost was calculated at $200 per year per host site.

NOTES:

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CHAPTER 5
INTRODUCTION TO AMERICORPS APPLICANT PERFORMANCE MEASUREMENT TOOL KIT

The Performance Measurement Tool Kit describes processes and strategies for measuring results of your AmeriCorps program, tracking program progress in achieving those results and determining the impact of results on intended program beneficiaries. The Tool Kit also provides guidance for completing the Performance Measurement portion of an AmeriCorps application. Included in the Tool Kit is a discussion of logic models and details on developing and using a logic model to design, implement and evaluate your AmeriCorps program.

These concepts are not new to the Indian world. We have been focused on program results and impacts in design and operation of Native American programs for a number of years. We also have used logic models in designing and implementing a variety of tribal programs. The Corporation‘s definitions and use of those terms is specific, however, and we need to keep those definitions in mind in our work with AmeriCorps. The Corporation uses the following definitions to describe different types of “results”:

- Outputs (units of service or counts of the amount of service that have been provided by members or volunteers)
- Intermediate Outcomes (changes or benefits that describe movement toward final, hoped for improvements in beneficiary populations)
- End Outcomes (positive changes that he program ultimately plans to achieve for beneficiaries).

NOTES:

Elements used by the Corporation in logic model construction include:

Need →	Inputs →	Activities →	Outputs →	Intermediate Outcomes →	End Outcomes

Be sure to use the performance measurement definitions and concepts provided by the Corporation in AmeriCorps program development. The Corporation has included a Glossary of Performance Measurement Terms (Appendix “B”) and a Cross Reference of Performance Measurement Terms (Appendix “C”) in the Tool Kit to assist our understanding of how the Corporation defines and uses these key terms.

NOTES:

Corporation for National and Community Service

AmeriCorps Program Applicant

Performance Measurement Toolkit

Project STAR
1-800-548-3656
star@aiweb.com
www.projectstar.org

March 9, 2005

This toolkit is intended to help orient you to the kind of thinking you will have to do to complete the Performance Measurement portion of your AmeriCorps application. The toolkit is intended to provide you with helpful background information. However, relying on this information cannot guarantee an award, and the toolkit should not be referred to in your application.

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Performance Measurement Worksheets

Introduction

The Corporation for National and Community Service is introducing performance measurement to assist AmeriCorps programs in program planning, to establish minimum expectations at a national level to help measure program performance, and to ensure that grantees and sub-grantees are held accountable for their results.

Purpose of Toolkit

The purposes of this AmeriCorps Program Applicant Performance Measurement Toolkit are to introduce the concept of performance measurement, provide information on performance measurement as it applies to AmeriCorps programs, and in particular to help potential applicants for AmeriCorps funding satisfy the performance measurement requirements of the application process. This toolkit describes:

1. Performance measurement, outputs, intermediate outcomes, and end outcomes;
2. The minimum requirements the Corporation for National and Community Service expects AmeriCorps programs to report;
3. How the logic model can be used to define desired results and provides logic model examples;
4. What to consider when choosing methods and instruments for performance measurement; and,
5. How to complete a performance measurement worksheet.

This toolkit also includes several appendices containing logic model examples, a glossary of performance measurement terminology, a cross reference of new and old terms, and a list of additional resources.

AmeriCorps State and National Requirements

The performance measurement expectations set forth by the Corporation in the 2003 AmeriCorps Guidelines describe the minimum requirements to which all AmeriCorps programs must adhere. AmeriCorps programs within a state must contact their state commission to determine if there are additional state performance measurement requirements. A list of state commissions can be found on the Corporation's web site:

http://www.nationalservice.org/about/family/commissions.html

NOTES:

Programs may want to measure more than what the Corporation requires because measuring a variety of performance indicators benefits program planning and implementation. Programs are strongly encouraged to have at least one end outcome measure that captures the results of their primary service activities. In general, AmeriCorps programs are encouraged to complete as many performance measurement worksheets as are appropriate to represent their program's activities.

A Note on Terminology

As AmeriCorps programs transition from outcome evaluation to performance measurement, the Corporation has selected terminology to describe this new method to determine program results. Other funding agencies may use different terms to describe these same performance measurement concepts. Please be aware of these differences when using other performance measurement resources.

NOTES:

I. Performance Measurement Basics

Performance Measurement

Performance measurement is the process of regularly measuring the outputs and outcomes produced by your program. Performance measurement allows you to track both the amount of work done by your program and the impact of this work on your program beneficiaries.

Performance measurement is a useful tool for managing your program. It allows you to track the progress of your program towards larger goals, and to identify program strengths and possible areas for improvement. Program staff and members should be actively involved in performance measurement activities to track outputs and outcomes. Ultimately, performance measurement information will ensure program accountability, and will help improve services and client outcomes.

Results

The 2003 AmeriCorps Guidelines published by the Corporation for National and Community Service (CNCS) define the following results:

- **Outputs** are counts of the amount of service members or volunteers have completed, but do not provide information on benefits to or other changes in the lives of members and/or beneficiaries.
- **Intermediate Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries, but are short of a significant benefit for them.
- **End Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries that are significant.

Intermediate and end outcomes are the consequences of what a program does. Intermediate outcomes are expected to lead to achievement of end outcomes.

Outputs

Outputs refer to the amount of work or products completed and services delivered by your program. Examples include service hours completed by members and volunteers, neighborhood cleanup projects completed, and disaster preparedness training sessions

NOTES:

conducted. Outputs answer the question, "How much work did we do?" but do not answer the question, "What changed as a result of our work?"

Intermediate Outcomes

Intermediate outcomes are changes or benefits experienced by your service recipients. However, intermediate outcomes do not represent the final result you hope to achieve for your beneficiaries. For example, if your final result is to improve student academic performance, then intermediate outcomes might include improved attitudes towards school and reduced truancy. These are likely preconditions for improved academic performance. Positive results for intermediate outcomes are usually a sign that your program is on track to achieve the related end outcomes.

End Outcomes

End outcomes are the positive changes that your program ultimately hopes to achieve for beneficiaries. End outcomes address community conditions or needed changes in the condition, behavior, or attitudes of beneficiaries.

Reasons to Conduct Performance Measurement

Performance measurement responds to the need for program managers and funding agencies to systematically measure the effectiveness of program activities. Maximizing program effectiveness is critical in light of the limited resources available to meet the needs of the people and communities. Performance measurement provides decision makers with reliable information on the effectiveness of program activities in achieving intended outcomes.

To summarize, performance measurement allows you to:

- Clarify the purpose of your program and the way specific services contribute to achieving desired results.
- Document the actual results of program activities.
- Improve program performance by identifying program successes and areas for improvement.

NOTES:

II. Performance Measurement Requirements for AmeriCorps State and National Programs

Overview

Beginning with program year 2003-04 (October 2003 – September 2004), the Corporation has changed its guidelines on how AmeriCorps State and National Programs are to measure their performance. AmeriCorps programs will be required to develop performance measurement worksheets and collect data on specified results—outputs, intermediate outcomes, and end outcomes. A minimum of three performance measurement worksheets must be completed and the results reported. However, programs are strongly encouraged to measure outputs and outcomes for all primary activity areas.

The following guidelines describe the minimum requirements for developing performance measurement worksheets and reporting results to the Corporation.

Performance Measurement Worksheets

Any AmeriCorps program, no matter how large, and no matter how many different services it provides, must prepare and submit a minimum of three performance measurement worksheets to the Corporation. Each worksheet must specify only one result—an output, an intermediate outcome, or an end outcome. When reporting results to the Corporation, report only the result described in each performance measurement worksheet. The results selected by the program must include one output, at least one intermediate outcome, and at least one end outcome.

Volunteer Recruitment

The Corporation is encouraging AmeriCorps programs to leverage community resources by emphasizing involvement of citizens and residents in community service. Therefore, one of the performance measurement worksheets should focus on volunteer recruitment. However, if volunteer recruitment is not part of your overall program effort, you are not required to include a worksheet addressing this area. If yours is such a program, you must state why

How Volunteers Differ from AmeriCorps Members

Volunteers are citizens or residents in the community who offer their time and talents to assist your AmeriCorps program. Volunteers differ from AmeriCorps members in that they are under no formal obligation to provide a specified amount of assistance (e.g., as measured by service hours), and do not receive a stipend, education award, or health benefits.

volunteer recruitment is not appropriate for your program, and submit this statement along with your performance measurement worksheets.

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Recommendations

The guidelines above are the minimum requirements set by the Corporation. In addition, AmeriCorps programs are encouraged to measure outputs and outcomes of all of their primary activities. AmeriCorps programs are also encouraged to use as many results (i.e., outputs, intermediate outcomes, end outcomes) as they feel appropriate to demonstrate the results of their activities. AmeriCorps State programs should contact their state commission to inquire about state guidelines.

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III. Program Logic Model

The program logic model provides a concise visual representation of activities that are the core of your program. Logic modeling can be used during the planning or development of your program to identify the results your program intends to achieve. The logic model below consists of five components.

Logic Model Components

Need → **Inputs** → **Activities** → **Outputs** → **Intermediate Outcomes** → **End Outcomes**

- **Need:** The unmet need in your community that your activity will address.
- **Inputs:** Resources used to produce outputs and outcomes.
- **Activities:** What a program does with the inputs.
- **Outputs:** The products and services delivered (e.g., students tutored, trees planted).
- **Intermediate Outcomes:** Changes that have occurred in the lives of the beneficiaries and/or members, but have fallen short of a significant benefit for them. These may include quality indicators such as timeliness and client satisfaction.
- **End Outcomes:** Changes that have occurred in the lives of beneficiaries and/or members that constitute significant benefits to them.

Logic Model Benefits

Using the logic model will help your program:

- Communicate its potential value.
- Clarify the results you are trying to achieve.
- Identify the key program elements that must be tracked to assess your program's effectiveness.
- Make clear program premises and make visible stakeholder assumptions.

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- Improve program planning and performance by identifying the ways to measure program success and areas for improvement.

NOTES:

The figure below divides the logic model into two parts (program planning and intended results) and employs an “if A, then B” sequence. Read this logic model from left to right.

The "If-Then" Sequence of the Logic Model

Need	Inputs	Activities	Outputs	Intermediate Outcomes	End Outcomes
There is a problem in your community that your program would like to address.	Certain resources are needed to operate your program.	If you have access to resources, then you can use them to carry out your planned activities.	If you carry out your planned activities, then you will deliver the amount of product and/or service that you intended.	If you carry out your planned activities to the extent you intended, then this will lead to the intermediate steps necessary for your desired end outcomes.	If you carry out your planned activities to the extent you intended, then this will lead to your desired end outcomes.

Program Planning — *Intended Results*

Considerations in Developing a Logic Model

- **Involve appropriate stakeholders in the process.** Developing a logic model as a group builds consensus by focusing on the values and beliefs influencing what your organization wants to accomplish and why.
- **Start with activities.** Work back and forth between the various components as you develop your logic model. However, keep in mind that there is no "one right way" to create a logic model. Some programs may want to start with their desired outcomes and develop the best activities to meet those outcomes, especially those of you with experience using logic models. It is likely that you will have more than one output, intermediate outcome and/or end outcome.
- **Keep it brief (one page).** Use the logic model to describe the core of your program to your reader. Include only those inputs and activities that are directly applicable to the intended changes. Use separate logic models for each major program activity.
- **Look at what will actually occur.** Look realistically at program results as well as the way the program is currently implemented, not how it functioned in the past. Choose those outputs, intermediate outcomes, and end outcomes that best describe the purpose of your program.

NOTES:

- **Keep it simple.** Come up with a model that reflects how and why your program will work.
- **Be ready to modify.** Since this is a snapshot of program activity at one point in time, keep in mind that you will need to refine your logic model over time.

NOTES:

The Logic Model and Performance Measurement Worksheets

Developing a logic model can assist you in building your performance measurement worksheets (For more information, see *Section V. Performance Measurement Worksheet*). As you move through the logic model process, you begin to identify the key outputs, intermediate outcomes, and end outcomes for core activities. For each selected output and outcome, identify specific instruments you will need to track your progress. Keep in mind the Corporation requirements for type and number of outputs, intermediate outcomes, and end outcomes that are to be reported. When selecting the outputs and outcomes you plan to measure, select those you believe to be the results that are the most important to report to the Corporation.

An example of a logic model is demonstrated on page 15. It includes sample indicators below each result. An indicator is the specific, measurable item of information that specifies progress toward achieving the result (For further discussion of indicators, see *Section V. Performance Measurement Worksheet*). Page 16 demonstrates how the logic model helps to build the performance measurement worksheet. *Appendix A* includes additional logic model examples.

Work back and forth between the elements of the logic model and performance measurement worksheet to ensure that:

- Performance measurement components are connected (i.e., there is a clear link from inputs to program service to intended outputs/outcomes).
- Performance measurement worksheets are specific and reflect activities that are feasible given the program resources (inputs), activities, and time frame.
- Outputs and outcomes relate to your activity.

Other Approaches

In addition to using the logic model, there are other approaches that may help you identify meaningful results. For example, other approaches include holding focus groups with clients to identify what they want and expect from the services. You can also find out what similar programs elsewhere have identified as outputs and outcomes and tailor those to your own program context and needs. In this way, you can benefit from the effective practices of other programs and minimize “reinventing the wheel.”

NOTES:

Logic Model Example with Sample Indicators: Northside Youth Development Center – Parental Skills Training*
(Indicators appear under each result.)

Need	Inputs	Activities	Outputs	Intermediate Outcomes		End Outcomes
In our community, we have identified the following unmet need:	*In order to carry out our set of activities, we will need the following:*	*In order to address our need, we will carry out the following activities:*	*We expect that once carried out, these activities will produce the following evidence or service delivery:*	*We expect that if carried out, these activities will lead to the following intermediate changes:*		*We expect that if carried out, these activities will lead to the following end changes:*
There is a high drop-out rate; parents need help to support their children through high school	AmeriCorps members School district staff and teacher support Parenting Skills curriculum	AmeriCorps members will implement a semester-long dropout prevention program consisting of sixteen classes for parents.	Parental skills training class hours Parent participants	Parents demonstrate positive parenting skills	Decrease in student behavior problems	Decrease school drop-out rate of teenage students whose parents completed the parental skills program
			Instrument: Class roster	Instrument: Parent Skill Observation Checklist	Data Source: School records	Data Source: School records
			1. Number of class hours 2. Number of participants	1. Number and percent of parents demonstrating skills	1. Number and percent of student behavior incidents	1. Number and percent of drop-outs

** Sources:Measuring Program Outcomes: A Practical Approach, United Way of America; W. K. Kellogg Foundation Evaluation Handbook, W.K. Kellogg Foundation; Performance Measurement: Getting Results, Urban Institute.*

Logic Model: Northside Youth Development Center – Parental Skills Training

Need	Inputs	Activities	Outputs	Intermediate Outcomes		End Outcomes
There is a high drop-out rate; parents need help to support their children through high school.	AmeriCorps members School district staff and teacher support Parenting Skills curriculum	AmeriCorps members will implement a semester-long dropout prevention program consisting of sixteen classes for parents.	Parental skills training class hours Parent participants Instrument: Class rosters	Parents demonstrate positive parenting skills Instrument: Parent Skill Observation	Decrease in student behavior problems Data Source: School records	Decrease school drop-out rate of teenage students whose parents completed the parental skills program Data Source: School records

Performance Measurement Worksheet (END-OUTCOME EXAMPLE)
Program: Northside Youth Development Center *Activity/Service: Parental Skills Training*

1. Select a performance measurement category: ● **Needs and Service Activities** ❍ **Participant Development** ❍ **Community Strengthening**	
2. Select a performance measurement type: ❍ **Output** ❍ **Intermediate Outcome** ● **End Outcome**	
3. **Need.** Describe the need that this performance measure will address.	One in five high school students dropped out of school last year (*Ridgeway School District Annual Report, 2004*). Parents have indicated they need help to support their children through high school (*Survey of Ridgeway County Parents,* 2004, conducted by the School District and City of Ridgeway).
4. Anticipated Result. Identify the expected **result**.	Completion of drop-out prevention program leads to decrease in student drop-out rate.
5. Activities. Describe the **activities** planned to achieve this result.	Five AmeriCorps members will implement a drop-out prevention program consisting of sixteen classes for parents. The class activities will be designed to provide parents with the skills they need to keep their children in school.
6. Measurement. Describe the data and instruments you use to **measure** the results.	Documentation: School records and Drop-Out Rate Summary Log
7. Targets. Describe the **targets** you expect to meet during the 3-year grant period.	Year 1: No measurable results.
	Year 2: 8 percent lower drop-out rate compared to students of parents who are on a waiting list for the program.
	Year 3: 12 percent lower drop-out rate compared to students of parents who are on a waiting list for the program.
8. **Performance Measure.** Combine your anticipated results and your targets into a sentence.	In the third year, the children of parents who complete the drop-out prevention program exhibit a 12 percent lower drop-out rate than the students of parents who are on a waiting list for the program.[1]

[1] Using a comparison group, such as parents on a waiting list, is an ideal, though difficult performance measurement method. Collecting baseline data on program participants may be sufficient as an alternative to using a comparison group.

9. If you have **data for this performance measure from prior years,** report it here.	No data are available for previous years.

IV. Choosing Methods and Instruments for Performance Measurement

Various methods and instruments are used to collect data needed to determine if your program has achieved your desired results—your outputs, intermediate outcomes, and end outcomes. After developing your logic models and identifying the results, the next step is to determine how you are going to collect the data to track the respective result.

Collecting Data for Outputs

Outputs refer to the amount of service completed. The methods used to collect data involve documenting the work that has been done. Instruments used to document outputs include logs, attendance sheets, and activity forms. The key to collecting output data is to develop and maintain a recording system that collects the data in a consistent and organized manner.

Collecting Data for Outcomes

Outcomes are the changes that occur as a result of service completed. As with collecting output data, the methods used depend on the type of information needed. Basically, there are two types of data sources to consider, existing data that have been collected by another agency and data that your program can generate through the performance measurement process.

Existing Data from Other Organizations

Data from other agencies can be used to show the extent to which your program is meeting your targets for performance measures. Examples of such data are attendance records, classroom grades, crime statistics, and health information. The method of collecting these data needs to be planned carefully. It is important to determine how you will record the data that come from an external source (e.g., grades from report cards, health statistics from city or county data records).

Although there may be existing data that seem relevant to your program, the data may not be in a format you can use, or the data may not be accessible to you. For example, if you want to collect report card grades for your reading program, you must determine if the elementary schools give letter or numeric grades to the younger students. In some cases, rather than assigning letter or numeric grades, schools rate student success in ways such as by indicating competency level (e.g., “exceeds expectations,” “meets expectations,” or “needs improvement”).

Another issue to consider is confidentiality, which may restrict your access to data collected by other organizations. You also need to consider whether the data will be available when you need them.

Program-Generated Data

Programs may need to generate the data to measure outputs, intermediate outcomes, or end outcomes. This entails adapting an instrument someone else has created or designing an instrument to collect specific data for performance measurement. In these

cases, programs may choose to administer tests or surveys, conduct observations, or conduct interviews. Programs that decide to generate the data they need will find it necessary to allocate more time in the development stage. Instruments should be pilot tested and reviewed to avoid ambiguous language and other common errors. Despite the additional time needed for development, program-generated measures usually provide a greater degree of control over the data collected.

Issues to Consider When Choosing Data Collection Methods and Instruments

Whether you are measuring outputs or outcomes, the following issues should be considered when deciding on the method and type of instrument to use.

- **Identify who will administer the instrument.** Do they need training to administer the instrument?
- **Determine who will complete the instrument.** Will they be willing to complete the instrument? Will they be able to understand what the instrument is asking (e.g., given their reading level, language skills, age, etc.)?
- **Determine when you want the instrument to be administered.** Does your timeline conflict with other program activities or administrative responsibilities? Will the people who need to complete the instrument be available when the data are to be collected?
- **Determine if the data to be collected are accessible to you.** Do you need approval from individuals or the organization to get the data? Is confidentiality an issue?
- **Verify that the data you want to collect actually exist.** Do the data to be collected actually exist in a format or grouping that you need? Do data exist from previous years?
- **Determine when the data will be available.** Will the data be available to you when you need it?

Instruments Record the Work Completed

Performance measurement data and instruments are the records of the work performed by your program (outputs) and the changes resulting from this work (outcomes). Completed instruments and the “raw data” they contain provide the documentation that verifies the results you report to the Corporation and other stakeholders. Therefore, it is very important to keep all your raw data (i.e., completed instruments) well organized and in a safe place so they will not be lost or destroyed. Completed instruments may also contain confidential information about the beneficiaries you serve, so it is also important to keep them in a secure location, such as a locked filing cabinet.

V. Performance Measurement Worksheet

A strong performance measurement worksheet tells a brief and accurate story about what you intend to achieve for your beneficiaries, members, and community through your activity. It also lays a foundation for implementing performance measurement. The AmeriCorps worksheet contains six components.

1. **Need to be addressed**
2. **Result and indicator**
3. **Activity**
4. **Data source and instrument**
5. **Targets**
6. **Performance measure**
7. **Data from prior years**

Before Starting the Performance Measurement Worksheet

Review your logic model. Before developing your performance measurement worksheet, complete a logic model for the activity. The logic model can serve as the basis for your worksheet. As you complete the worksheet, you can move back and forth between the logic model and the worksheet, borrowing components from the logic model to copy into the worksheet. See *Section III—Program Logic Model* in this toolkit for more information on completing a logic model.

Steps to a Strong Performance Measurement Worksheet

1. Select the type of activity to be measured.

Identify the category that best represents the activity.

- *Needs and Service Activities:* Activities that relate to the direct services your members do (e.g., tutoring, crisis counseling, building houses, or trail maintenance) and that have an impact on beneficiaries.
- *Participant Development: Activities:* Activities that reflect what program staff provide for members ("participants") that promote change in member knowledge, skills, or attitudes (e.g., training, career counseling).
- *Strengthening Communities:* Activities that relate to increasing and sustaining resources within your community (e.g., recruiting volunteers, building collaborations, or educating about services).

2. Identify the performance measurement type.

According to Corporation guidelines, identify one of the following results for each worksheet.

- **Outputs** are counts of the amount of service members or volunteers have completed, but do not provide information on benefits to or other changes in the lives of members and/or beneficiaries.

Output Example
Teacher-identified, third-grade students at Clarkstonburg Elementary School will complete 12 weeks of tutoring.

- **Intermediate Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries, but are short of a significant benefit for them.

Intermediate Outcomes Example
Students will improve attitudes about reading.

- **End Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries that are significant.

End Outcome Example
Students will increase their ability to read.

3. Describe the need the activity will address.

Describe the unmet need in your community and briefly describe the community characteristics relevant to the need. Document the reason why your particular service activity is being conducted by citing research or government statistics, if appropriate.

Note that for participant development activities, the need will be centered on the members (e.g. need for advanced training), rather than the community.

4. Identify and define the result and indicator.

Identify the result you will focus on for this performance measurement worksheet. (For more information on requirements for results, see *Section II. Performance Measurement Requirements* in this toolkit). The output indicates the amount of activity (counts). Outputs answer the question, “How much service was provided?” The intermediate and end outcomes reflect the impact of your activity on your beneficiaries and the community. Outcomes answer the question, “What has changed because we did this activity?” If your activity has multiple impacts—which most do—choose the most meaningful impact that will be measurable within three years.

After identifying the result for each performance measurement worksheet, you will also need to identify the indicator you hope to use to determine if you reached your result. The indicator describes the specific, measurable item of information that specifies progress toward achieving your result. It is a key step in determining the target (Number 7 on the performance measurement worksheet). The following examples are indicators for specific results:

Indicator Example

Output Indicator: Number of students tutored

Intermediate Outcome Indicator: Percent of students reading more books

End Outcome Indicator: Percent of students reading at or above grade level

5. Describe your activity.

Describe how you will achieve this result. The activity statement of your program should describe who does what, when, where, how, and with whom.

Activity Example

Five AmeriCorps members will provide one-on-one tutoring in reading to twenty-five teacher-identified, third-grade students at Clarkstonburg Elementary School for forty-five minutes in the classroom one afternoon per week for twelve weeks.

6. Identify data source and instrument.

The data source and instrument describe the means by which you will collect *observable evidence* on the extent to which your activity completed service or achieved its desired result. The data source identifies the origin of the information you plan on collecting. For example, if you are using existing data, the data source may be school records or police crime statistics. The instrument is the document or form you will use to track your activities and to determine impact (e.g., teacher survey, behavioral checklist).

Always connect your instrument and data source to your activity and result. For example, a questionnaire (instrument) that collects information from park visitors (data source) on park satisfaction would not measure increased trail safety (result). However, an Accident and Injury Log (instrument) that collects information from the park's Accident and Injury Records (data source) can determine the safety condition of a trail and measure trail safety (result). Before identifying the data source and instrument, consider the feasibility of collecting the type of information associated with the instrument. For example, if you will need to gain access to data on crime rates, you will want to know if the police department will allow you to transfer crime data to your Crime Rate Summary Log.

Identify your data source and instrument in the worksheet. In some cases, you may not have identified an instrument during the early planning of your program, but know where you would get the information. If so, state the data source where you will obtain your data; identifying the specific instrument to be used may need to come later.

7. Select the targets.

Identify the actual level or degree of success, as measured by your instrument, which you expect to achieve each year during the three-year funding cycle. Your targets indicate how many or how much will change for each of the three years as compared to baseline data.

Be realistic! You are the best judge of how much change to expect over a given time period as a result of your program's activities. If this is the first time you are collecting data for this measure, usually the target is considered as a "guestimate." Consider whether this is the same group of beneficiaries participating for all three years and whether the AmeriCorps members' limited service years will allow you to raise your target substantially from one year to the next.

An example of targets for an intermediate outcome may look like this:

Year 1: Sixty-five percent of students tutored increase their interest in reading.

Year 2: Eighty-five percent of students tutored increase their interest in reading.

Year 3: Ninety percent of students tutored increase their interest in reading.

8. Restate the performance measure.

The performance measure is a combined restatement of your result (item 4 on the worksheet) and targets (item 7 on the worksheet). It is the general statement of change coupled with what (who) and how many will change during the respective year.

An example of a performance measure for an intermediate outcome may look like this:

Year 3: Teachers report that 90 percent of students tutored increased interest in reading.

9. Provide data from previous years.

If you have data from previous years, this is the opportunity to report it. This may be baseline data previously collected by your agency, or other information you used to establish the community need that your activity will address.

Appendix A: Examples of Program Services Described in Logic Models (Indicators appear under each result)

Participant Development:

Nineteen AmeriCorps members will be trained by a qualified trainer (trained staff person or professional trainer) in ten strategies of effective citizenship using the curriculum, "A Facilitators Guide to Effective Citizenship through AmeriCorps" during their in-service orientation week and half-day trainings once per week for five weeks.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Members need training in citizenship strategies and can benefit from increased civic awareness	→	***1. Qualified trainers*** ***2. AmeriCorps members*** ***3. Citizenship curriculum***	→	Qualified trainers provide AmeriCorps members with training in citizenship using the prescribed curriculum.	→	Members complete the training course.	→	Members gain knowledge about effective strategies for civic engagement.	→	***Members increase commitment to civic engagement.***
						Indicator: Number of members who complete training course		Indicator: Percent of members who know how to design service projects, find and track legislation, run effective meetings, talk to decision-makers, etc.		***Indicator: Percent of members who participate in at least one community service activity beyond AmeriCorps***

Strengthening Communities:

Twenty AmeriCorps members will engage in volunteer recruitment by supporting the quarterly open house for community literacy volunteers. Members will place advertisements in the local newspapers and other media outlets, as well as word-of-mouth, to inform the community about quarterly open house events. AmeriCorps members will also staff these open house events, serve refreshments, and inform community members about opportunities to serve as literacy tutors at local elementary schools. Members will record contact information for participants who express interest in volunteering. Program staff will be responsible for volunteer training and placement.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Volunteer tutors are in scarce supply; high turnover of volunteers detracts from quality of tutoring services.	→	1. AmeriCorps members 2. Member training in volunteer recruitment ***3. Advertisement supplies and resources*** ***4. Refreshments***	→	AmeriCorps members advertise and staff quarterly open house to recruit community volunteers for the literacy tutoring program. Program staff train and place literacy volunteers.	→	Individuals recruited from the community serve as literacy tutors.	→	Individuals who volunteer as literacy tutors have a positive volunteering experience.	→	***First-time literacy tutoring volunteers maintain their commitment to volunteering.***
						Indicators: Number of individuals from the community who are recruited, trained, and placed as literacy tutors		Indicator: Percent of literacy tutors (volunteers) who report that they had a "positive" or "very positive" volunteering experience		***Indicators: Percent of first-time literacy tutors (volunteers) who report that they plan to serve with the program again next year***

Needs and Service Activities—Education:

Twenty-five AmeriCorps members and fifteen volunteers will provide one-on-one literacy tutoring to 160 third-grade to fifth-grade students identified as reading two or more grades below their grade level. Tutoring will occur three days per week for one school year (thirty weeks) at four elementary schools. Each student will be provided with one hour of tutoring three days per week for 30 weeks.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Elementary school children are scoring low in tests of reading ability.	→	1. AmeriCorps members 2. ***Community volunteers*** 3. ***Students*** 4. ***Training resources***	→	AmeriCorps members and volunteers provide one-on-one literacy tutoring to elementary students.	→	Students receive tutoring services	→	Students demonstrate a positive attitude towards reading.	→	***Students improve reading ability by end of school year.***
						Indicators: Number of students who receive at least 45 hours of tutoring		Indicator: Percent of tutored students who report that they enjoy reading and are reading more books		***Indicator: Percent of tutored students who read at or above grade level by end of school year***

Needs and Service Activities—Environment:

Ten AmeriCorps members and fifty volunteers will work six-person crews to conduct ten neighborhood clean-up projects to improve the safety and usability of neighborhood public parks over a nine month period. Clean-up activities will include removing trash and debris, planting trees and shrubs, repainting fences and walls (to cover graffiti), and repairing broken playground equipment.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Residents lack access to safe, clean neighborhood parks.	→	1. AmeriCorps members 2. Volunteers 3. Clean-up tools and equipment ***4. Monetary and material resources***	→	AmeriCorps members conduct clean-up projects in neighborhood parks.	→	Neighborhood park clean-up projects are completed.	→	Neighborhood residents perceive parks to be safer and more usable due to clean-up efforts of AmeriCorps members and volunteers.	→	***Residents make greater use of public parks in their neighborhood.***
						Indicator: Number (and types) of clean-up projects completed		Indicator: Percent of neighborhood residents who report that they believe the parks in their neighborhoods are safer and more usable due to clean-up efforts of AmeriCorps members and volunteers.		***Indicators: Percent of residents who report they will be more likely to use cleaned up parks; percent of residents who report having used parks in the last 30 days***

Needs and Service Activities—Disaster Preparedness and Relief:

Twenty AmeriCorps members, serving at five sites and working in teams of four, will work with representatives of local schools, after school programs, and other youth-serving organizations to implement disaster preparedness curricula and programs for elementary and middle school-aged youth.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Youth in the community need to know what to do in the event of various emergencies.	→	1. AmeriCorps members 2. Disaster preparedness curricula ***3. Other material and monetary resources***	→	AmeriCorps members work with community representatives to implement disaster preparedness curricula.	→	Youth participate in disaster preparedness activities.	→	Youth increase their knowledge of appropriate disaster responses.	→	***Youth perform appropriately during emergency drills.***
						Indicators: Number of youth who participate in disaster preparedness activities.		Indicator: Percent of participating youth who show knowledge of appropriate responses in at least three disaster scenarios		***Indicator: Percent of youth who are able to perform seven emergency tasks during a timed drill***

Needs and Service Activities—Other Human Needs:

Fifteen AmeriCorps members will conduct outreach to neighborhood residents, signing up parents with infants and young children for appointments at the community clinic to receive necessary vaccinations. Members will distribute brochures containing information on the importance of childhood vaccinations, and encourage parents to bring their infants and young children to the local community clinic for free or reduced-cost vaccinations. Parents will receive up-to-date record of children's vaccinations, which will facilitate the enrollment of these children in kindergarten and elementary school.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Children in the community have not received all needed vaccinations.	→	1. AmeriCorps members 2. Member training ***3. Outreach materials*** ***4. Other material and monetary resources***	→	AmeriCorps members go door-to-door and sign up parents with infants and young children for necessary vaccinations.	→	Parents with infants and young children are signed up.	→	Children receive necessary vaccinations.	→	***Parents receive up-to-date record of their children's vaccinations.***
						Indicator: Number of parents signed up by AmeriCorps members		Indicator: Number of children who receive vaccinations		***Indicator: Number of vaccination cards which indicate children have received all recommended vaccinations***

Needs and Service Activities—Public Safety:

Over the course of one year, fourteen members will help victims of domestic violence to make personal safety plans, get temporary restraining orders, and find alternative living situations. Members will guide clients through the steps to develop a personal safety plan. Members will help clients complete the paperwork to file a request for a temporary restraining order. Members will match clients with openings at the local shelter for battered women. Members will also follow up with on clients' to address their needs for at least six weeks following initial contact.

Need		**Inputs**		**Activity**		**Outputs**		**Intermediate Outcome**		*End Outcome*
Victims of domestic violence need help finding and accessing resources to keep them safe.	→	1. AmeriCorps members ***2. Training for members*** 3. Monetary and material resources ***4. Victims seeking assistance***	→	AmeriCorps members assist victims of domestic violence (clients) to make personal safety plans, get temporary restraining orders, and find alternative living situations.	→	Clients receive assistance from AmeriCorps members.	→	Clients implement their personal safety plans.	→	***Clients report that they feel safer as a result of assistance received from members.***
						Indicator: Number of clients who receive assistance, and types of assistance received		Indicator: Percent of clients who report having performed the steps outlined in the personal safety plan they developed with assistance from an AmeriCorps member		***Indicator: Percent of clients who report that they feel safer as a result of assistance received from AmeriCorps members***

Appendix B: Glossary of Performance Measurement Terms

Activity: What a program does with inputs to fulfill its mission.

Beneficiaries: Those who benefit from community activities.

Data Source: Identifies the origin of the information you plan on collecting.

Evaluation: In-depth assessment of program effectiveness by means of rigorous scientific methods. This can include use of control groups and other techniques to determine what would have happened in the absence of the program.

Indicator: A specific, measurable item of information that specifies progress toward achieving a result.

Input: Resources your program uses to produce outputs and achieve outcomes. Examples include staff, members, volunteers, facilities, equipment, curricula, and money.

Instrument: Specific tool to collect information (e.g., behavior checklist, tally sheet, attitude questionnaire, interview protocol).

Logic Model: A diagram or chart that traces the flow from inputs to activities, outputs, and outcomes to demonstrate an aligned activity. A logic model employs an “if A, then B” way of thinking.

Need: The unmet need in your community that your activity will address.

Performance Measure: A statement containing a result (output, intermediate outcome, or end outcome), an indicator, and the target that is expected to be achieved toward this result over a given period of time (one year, two years, or three years).

Performance Measurement: The process of regularly measuring the outputs and outcomes produced by your program. Performance measurement allows you to track both the amount of work done by your program and the impact of this work on your program beneficiaries.

Result: The outputs and outcomes you intend to track for a particular activity.

> **Outputs** are counts of the amount of service members or volunteers have completed, but do not provide information on benefits to or other changes in the lives of members and/or beneficiaries.
>
> **Intermediate Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries, but are short of a significant benefit for them.
>
> **End Outcomes** specify changes that have occurred in the lives of members and/or beneficiaries that are significant.

Target: The level of success a program expects to attain for efforts made over a given time period.

> **Output example:** In the first year, twenty-five percent of the parents participating in the dropout prevention program will attend all sessions.
>
> **Intermediate outcome example:** In the second year, those students whose parents attend all sessions of the dropout prevention program will demonstrate ten percent fewer behavioral incidents compared to those students whose parents are on a waiting list for the program.

Volunteer: Volunteers are citizens or residents in the community who offer their time and talents to assist your AmeriCorps program. Volunteers differ from AmeriCorps members in that they are under no formal obligation to provide a specified amount of assistance (e.g., as measured by service hours), and do not receive a stipend, education award or health benefits.

Appendix C: Cross Reference of Performance Measurement Terms

PREVIOUS TERM Program Evaluation or Objective-based outcomes	TO	CURRENT TERM Performance Measurement	Definition Under Performance Measurement Model
Accomplishment	➔	Output	The product or service delivered (students tutored, trees planted, etc). Usually involves counts. See "Result."
Activity	➔	Activity	What a program does with inputs to fulfill its mission.
Evaluation	➔	Performance Measurement	The process of regularly measuring the outputs and outcomes produced by your program. Performance measurement allows you to track both the amount of work done by your program and the impact of this work on your program beneficiaries.
Indicator	➔	Indicator	A specific, measurable item of information that specifies progress toward achieving a result.
Instrument	➔	Instrument	The document or form you use to track your activities and to determine impact (e.g., teacher survey, behavioral checklist).
Method (of Measure)	➔	Method (of Measure)	Approach to collect needed information (e.g., interviewing, observing, or counting).
Objective Summary	➔	Performance Measure	A statement containing a result (output, intermediate outcome, or end outcome) and the target a program expects to meet toward this result over a given time period (one year, two years, or three years).
Outcome	➔	Intermediate Outcome	A change in the lives of members and/or beneficiaries that is short of a significant, lasting benefit for them. In some cases, an intermediate outcome is an initial outcome that leads to a longer term or more important end outcome.
		End Outcome	A change in the lives of the beneficiaries that is significant and lasting.

PREVIOUS TERM **Program Evaluation or Objective-based outcomes**	**TO**	**CURRENT TERM** **Performance Measurement**	**Definition Under Performance Measurement Model**
Standard of Success	➔	Target	The level of success a program expects to attain for a performance measure over a given time period: Output example: In the first year, twenty-five percent of the parents participating in the drop-out prevention program will attend all sessions. Intermediate outcome example: In the second year, those students whose parents attend all sessions of the drop-out prevention program will demonstrate ten percent fewer behavioral incidents compared to those students whose parents are on a waiting list for the program.
Result	➔	Result	The outputs and outcomes a program intends to track for a particular activity: Output: The product or service delivered (students tutored, trees planted, etc). Usually involves counts. Intermediate Outcome: A change in the lives of members and/or beneficiaries that is short of a significant, lasting benefit for them. In some cases, an intermediate outcome is an initial outcome that leads to a longer term or more important end outcome. End Outcome: A change in the lives of the beneficiaries that is significant and lasting.

Appendix D: Performance Measurement Resources

Below is a list of resources recommended by the Corporation for National and Community Service for developing performance measurements. To access each of the online resources, type the underlined address into the address field of your web browser.

Web Sites

Center for Accountability and Performance
http://www.aspanet.org/cap/index.html

Evaluation Toolkit: A User's Guide to Evaluation for National Service Programs
http://www.projectstar.org/star/Library/toolkit.html

Harvard Family Research Project—After School Resources and Publications
http://www.gse.harvard.edu/hfrp/projects/afterschool/resources.html

Measuring Volunteering: A Practical Toolkit
http://www.independentsector.org/members/media/iyv_pr.html

Online Evaluation Resource Library
http://oerl.sri.com/

The Results & Performance Accountability Implementation Guide
http://www.raguide.org/Default.htm

United Way of America, Outcome Measurement Resource Network—Resource Library
http://national.unitedway.org/outcomes/library/pgmomres.cfm

Urban Institute Report on the Corporation's performance measurement
http://www.nationalservice.org/research/outcome.pdf

W.K. Kellogg Foundation Evaluation Handbook
http://www.wkkf.org/pubs/Tools/Evaluation/Pub770.pdf

W.K. Kellogg Foundation Logic Model Development Guide
http://www.wkkf.org/Pubs/Tools/Evaluation/Pub3669.PDF

Books

Hatry, Harry P. 1999. Performance Measurement: Getting Results. Urban Institute Press: Washington, D.C.

United Way of America. 1996. Measuring Program Outcomes: A Practical Approach. United Way of America: Alexandria, VA. (To order, call 1-800-772-0008.)

The Corporation also encourages programs, when needed, to seek the help of local or regional professionals to perform and oversee performance measurement activities. This includes the development of a plan that encompasses the collection of and reporting on outcome data that will be used to improve program quality.

PERFORMANCE MEASUREMENT WORKSHEET

Output— The amount of product or service delivered (students tutored, trees planted, etc.).
Intermediate-outcome— A change that has occurred in the lives of beneficiaries and/or members, but is still short of a significant, lasting benefit.
End-outcome— A significant and lasting change that has occurred in the lives of beneficiaries and/or members.

INSTRUCTIONS: Complete one worksheet for each performance measure.

1. Select a **performance measurement category:** ❍ Needs and Service Activities ❍ Participant Development ❍ Community Strengthening	
2. Select a **performance measurement type:** ❍ Output ❍ Intermediate Outcome ❍ End Outcome	
3. **Need.** Describe the need that this performance measure will address.	
4. Anticipated Result. Identify the expected **result**.	
5. Activities. Describe the **activities** planned to achieve this result.	
6. Measurement. Describe the data and instruments you use to **measure** the results.	
7. Targets. Describe the **targets** you expect to meet during the 3-year grant period.	Year 1:
	Year 2:
	Year 3:
8. **Performance Measure.** Combine your anticipated results and your targets into a sentence.	
9. If you have **data for this performance measure from prior years,** report it here.	

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CHAPTER 6
INTRO TO E-GRANT

This Chapter provides information on how to use the Corporation for National and Community Service's *eGrant* program to prepare and submit applications, access information on the status of a project, edit and submit Project Progress Reports and prepare and submit Financial Reports. The text of the Chapter is from the Corporation's eGrant site. You access that site by going to:

www.nationalservice.org/egrants

The sequence of information in the Chapter covers general information on the *eGrant* program, preparation needed to use the system and protocols of use. Sections 1 through 3 of the Chapter contain some of the most important user information:

- Section 1 (Getting Started) provides direction on setting up your computer systems to use *eGrant.* It tells you how to create your organization's *eGrant* account and how to establish your personal, user *eGrant* account.

- Section 2 (Logging on to eGrants) takes you through the log on, "main menu" use, saving information and close window procedures.

- Section 3 (Completing the Application…) leads you through *eGrant* processes for completing federal forms, submitting the grant narrative and providing required budget information.

The information is presented in non-technical language and outlines step by step processes for accomplishing activities covered in Sections 1-3. If you are familiar with such terms as "browser window" and "open application" you will be able to move through the *eGrant* set up and operation process. Your Information Systems staff should be able to provide any assistance you may need. Or you can call the *eGrant* help desk at (888) 677-7849.

NOTES:

Welcome!

Agenda – Account Presentation

Please call 1-888-453-4221 and enter code 490675# to join the call.

There are two parts to this eGrants training. The first PowerPoint presentation will focus on how to create and manage an individual eGrants account. The second one will concentrate on creating and completing the grant application.

The goal of the first presentation is to show you how to establish an account in eGrants, the online grant application system for the Corporation for National and Community Service.

Thank you for your participation. We hope that you find this training helpful.

Sincerely,
Liz Moore
eGrants Coaching Unit
888.333.8272

To begin your eGrants account creation process, logon to CNCS homepage at www.cns.gov

http://www.cns.gov/

Corporation for NATIONAL & COMMUNITY SERVICE

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National Service Response to the Hurricanes
Learn more GO

Get Involved!
Lead. Inspire. Change the World. Again.

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- Volunteering in America
- Our Role and Impact
- Strategic Plan
- Our Programs
- Newsroom
- Media Kit Materials
- National Service Calendar
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- Contact Us
- National Service Catalog
- Spirit of Service Awards
- President's Council on Service and Civic Participation
- Office of Inspector General

More About Us

For Organizations
- How Can National Service Help Our Organization?
- Which Program Is Right for Our Organization?
- New Funding Opportunities
- Manage Current Grants and Projects
- Find Volunteers and Members
- Tools, Training, and Information
- The Resource Center
- For Faith-Based and Other Community Organizations
- Frequently Asked Questions

More for Organizations

eGrants

For Individuals
- Why Get Involved?
- I'm Ready to Serve
- Benefits of Service
- Frequently Asked Questions
- Current Members and Volunteers
- Spread the Word

More for Individuals

Join Now

Our Programs
- Senior Corps
- AmeriCorps
- AmeriCorps*VISTA
- AmeriCorps*NCCC
- Learn and Serve America
- Special Initiatives
- Martin Luther King Jr. Day of Service
- Presidential Freedom Scholarship Program
- Universities Rebuilding America

Please click on "eGrants" link to open the eGrants Welcome Page.

National Service in Your State

Select a State

Other National Service Programs

In Focus

Stories of Service

As a Foster Grandparent, Lucy Williams has served children with developmental disabilities for 28 years. She helps them develop skills to be as independent as

start | Thank You - Mozilla Fi... | Corporation for Natio... | VISTA Presentation.ppt | 7:00 AM

http://www.cns.gov/egrants/index.asp

Corporation for NATIONAL & COMMUNITY SERVICE

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Serving Communities and Country

HOME

About Us | For Organizations | For Individuals | Our Programs

eGrants

- eGrants Home
  - Introduction to eGrants Phase II
  - Help / Assistance
  - Notices of Funding Availability
  - Feedback
  - Hours of Operation
  - Be a Peer Reviewer

National Service in Your State

Select a State

Other National Service Programs

Hurricane Volunteer Support Fund

In the wake of the recent hurricanes, the Corporation is coordinating volunteers to assist with repair and relief efforts in areas affected by this devastating storm. Your donation will support volunteers in providing food and shelter, managing donations, helping victims get necessary assistance, and long-term rebuilding efforts.

Donate Now to our Disaster Relief Fund

eGrants

Welcome to eGrants

eGrants is the Corporation for National and Community Service's web-based system for:

- Submission and tracking grant applications and concept papers;
- On-line grant application peer review;
- Negotiating and awarding grants and cooperative agreements;
- Managing grants and cooperative agreements including processing amendments, continuations; and
- Financial Status and Progress Reporting.

eGrants System Status
as of Wednesday, February 22, 2006

SYSTEM OPERATING NORMALLY

Help Desk Information:

Phone: 888-677-7849 (extension 533 if needed)
Email: egrantshelp@cns.gov
Hours of operation: 8:00 AM to 6:00 PM Eastern time, Monday through Friday

Login:

Please click here to Use eGrants Phase II

Please click here to begin creating an eGrants account. If you already have an eGrants account, you will also use this link to log on to your eGrants account.

eGrants Login - Mozilla Firefox

File Edit View Go Bookmarks Tools Help

Back Forward Reload Stop Home New Tab Bookmarks

https://egrants2.cns.gov/espan/main/login.jsp

Firefox Help General Tables of Unit... Firefox Support Plug-in FAQ Yahoo!

help

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

LOGIN

User Name

Password

Remember me

Login to eGrants

Forgot your password? Get help

Don't have an eGrants account? Create an account

Click here to disable the pictures

In order to create a new eGrants account, please click on this link.

If you already have an eGrants account for any other CNCS programs (AmeriCorps, Senior Corps, etc.), please don't create a new account. You will use that same eGrants account to create a concept paper/application for your VISTA project.

https://egrants2.cns.gov/espan/main/forgot.jsp egrants2.cns.gov

https://egrants2.cns.gov/espan/main/newaccount.jsp

help | login

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

CREATE AN EGRANTS ACCOUNT

Please click on one of the following links to create an appropriate eGrants account.

Become a Peer Reviewer

Create a Grantee account

Already have an eGrants account? Proceed to Login

508 Approved | eGrants Feedback | Contact Help Desk

Please click on this link to continue to create a new eGrants account.

Before your begin this process, please have your organization's EIN number and Legal applicant name with you. You will be asked for this information during this process.

Become a Grantee - Mozilla Firefox

File Edit View Go Bookmarks Tools Help

Back Forward Reload Stop Home New Tab Bookmarks

https://egrants2.cns.gov/espan/gr_main/newaccount.jsp

Firefox Help | General Tables of Unit... | Firefox Support | Plug-in FAQ | Yahoo!

help | login

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

BECOME A GRANT APPLICANT

Please select one of the following options below.

I have an eGrants account...

This is my first time. I want to create a new account with eGrants...

Already have an eGrants account? Proceed to Login

508 Approved | eGrants Feedback | Contact Help Desk

Please click on this link to continue to create a new eGrants account.

Done

egrants2.cns.gov

start | Thank You - Mozilla Fi... | Corporation for Natio... | Become a Grantee - ... | VISTA Presentation.ppt | 7:04 AM

https://egrants2.cns.gov/espan/gr_newaccount/logininfo.jsp?sid=7d2ab781baf342ce9acc890d4eae35e0

eGRANTS

Welcome Guest
2/22/2006, 8:19 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

cancel | save | next

Login Information

Please enter your login information. All questions marked with an asterisk (*)are requir

* First Name:
* Last Name:
Title:
* User Name: (ex: rsmith, rsmith2004)
* New Password:
* Retype New Password:
* Password Question: Choose Password Question ...
* Password Answer:
* Email:
* Retype e-mail:

508 Approved | eGrants Feedback | Contact Help Desk

cancel | save | next

If you click on "?" icon, it will open up a pop-up window with additional information in regard to that particular text filed. In order to use this function, you must turn off "pop-up blocker" which is located under "Tools" on your web browser.

You will see the pop-up window for the "New Password" text filed in the next slide.

start | Thank You - Mozilla Fi... | Corporation for Natio... | Login Information - M... | VISTA Presentation.ppt | 7:04 AM

https://egrants2.cns.gov - Password - Microsoft Internet Explorer

Show

Password

Create a password. The password you create must comply with the following:

Passwords shoud be 6 characters or greater in length, contain both letters and numbers, and not contain words. Instructions for CNCS network passwords are provided below to give you some ideas.

- The password must still be at least eight characters in length
- User passwords cannot contain any part of the user's account name
- The 8 character password must now contain characters from three of the following four categories:

1. At least on English upper case letter(s) (A..Z)
2. At least one English lower case letter(s) (a..z)
3. At least one base 10 digits (0.1,2...9)
4. At least one non-alphanumeric (For example, !,$#,%)

An example of such a password would be R5#hJ>dz, or, 5T3el#rs.

Done | Internet

eGRANTS

Welcome Guest
2/22/2006, 8:22 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

Login Information

Please enter your login inform

* New
* Retype New
* Password Question: Choose Password Question ...
* Password Answer:
Email:
Retype e-mail:

508 Approved | eGrants Feedback | Contact Help Desk

cancel | save | next

In addition, your password must begin with an alphabetical character.

Please write down your password question and password answer. If you forget your password, you need this information to reset your password.

In the future, if you forget your password, you can reset your password by going to Login page and clicking on “Forgot your password? Get help” link.

start | Thank You - Mozilla ... | Corporation for Nat... | VISTA Presentation... | Corporation for Nat... | https://egrants2.cn... | https://egrants2.cn... | 7:07 AM

help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Be
2/22/2006, 11:44 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

back | next

Enter EIN #

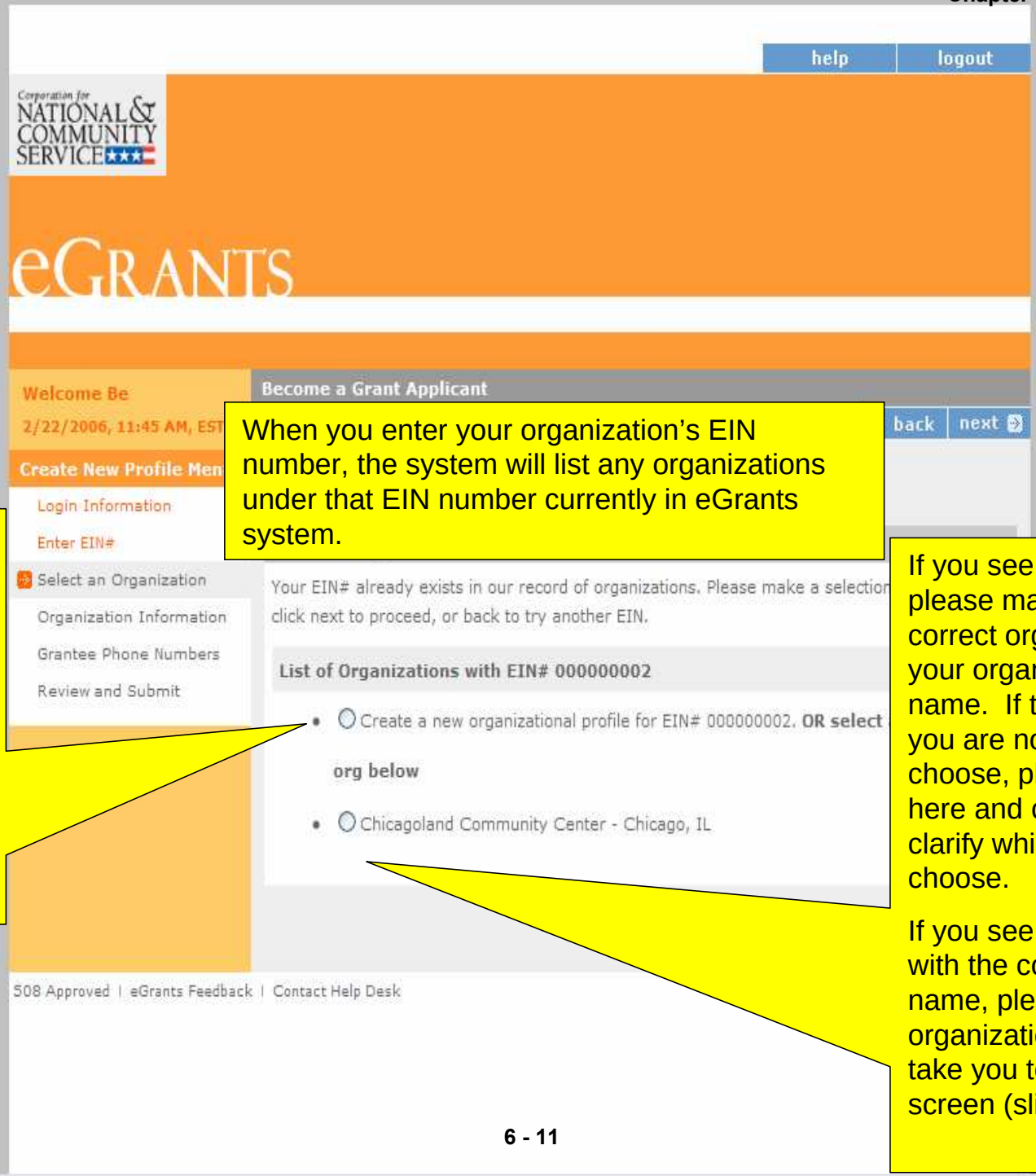
Please enter your organization's EIN#.

Enter your EIN #:

508 Approved | eGrants Feedback | Contact Help Desk

back | next

Done | Internet



When you enter your organization's EIN number, the system will list any organizations under that EIN number currently in eGrants system.

If no organizations are listed or the listed organizations do not represent your organization legal applicant name, choose "create a new organization profile" and proceed. It will take you to the next screen (slide # 11)

If you see any organizations listed, please make sure you choose the correct organization that matches your organization's legal applicant name. If there are few listed and you are not sure which one to choose, please stop the process here and contact your state office to clarify which organization to choose.

If you see your organization is listed with the correct legal applicant name, please choose that organization and proceed. It will take you to the "Organization Info" screen (slide # 12).

Done

Internet

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Organization Information

Please enter your organization information below. All questions marked with an asterisk (*)are required.

GENERAL INFORMATION

* EIN #: 000000002

DUNS #: -

* Organization's Name:

* Organization Type: Choose an Organization Type ...

ORGANIZATIONAL CHARACTERISTIC(S)

the characteristic(s) that best describe your organization.

Organizational Characteristic: **add characteristic**

CONTACT INFORMATION

* Street Address 1:

Street Address 2:

* City:

* State: Choose Your State ...

* Zipcode: -

* Phone: . . ext.

Fax: . .

Organization's Email:

Enter organization's data. To add organizational characteristics, please click on "add characteristics" link. You will be able to choose org. characteristics from a drop down menu.

Internet

help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Be
2/22/2006, 11:49 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

back | save | next

Organization Information

Please review your selected organization's information. Click on the "next" button to proceed to the login information.

Please return to the "Select an Organization" page to select another organization. You can also start new by entering a new EIN# in the "Enter EIN#" page.

Chicagoland Community Center: EIN# 000000002

Organization Type: Non-Profit
Organizational Characteristics: Service/Civic Organization
Organizational Characteristics: Community Action Agency/
Address: 5555 Lake Drive, Chicago, IL 60640
Phone: 773-000-0000
Fax: 773-000-0000

If the listed information doesn't match your legal application organization, please go back and choose the correct organization. If you are not sure what to choose or whether to create a new organization profile, please contact your state office.

508 Approved | eGrants Feedback | Contact Help Desk

back | save | next

Done | Internet

help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Be
2/22/2006, 11:51 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

back | save | next

Grantee Phone Numbers

Please enter your phone/fax information below. All questions marked with an asterisk (*)are required.

* Daytime Phone: ___ . ___ . ___ ext. ___

Evening Phone: ___ . ___ . ___

Fax: ___ . ___ . ___

Cell: ___ . ___ . ___

508 Approved | eGrants Feedback | Contact Help Desk

back | save | next

Done | Internet

help logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Be
2/22/2006, 11:52 AM, EST

Create New Profile Menu

- Login Information
- Enter EIN#
- Select an Organization
- Organization Information
- Grantee Phone Numbers
- Review and Submit

Become a Grant Applicant

Please review and submit your information

Please review your information and click on the "edit" to

Organization: Chicagoland Community Center
EIN #: 000000002
Organization Type: Non-Profit
Organizational Characteristics: Service/Civic Organi
Organizational Characteristics: Community Action A
change

Username: Happy2006
Password Question: Favorite color
Answer: Blue
Email: kwewegama@aiweb.com
edit

Daytime Phone: (77
edit

508 Approved | eGrants Feedback | Contact Help Desk

submit

Before you submit your request for a new eGrants account, please review the information here.

Once you submit, a message will appear notifying that you have created an eGrants account and that your “Grantee Admin” is notified – slide # 15.

You will find more info about Grantee Admin role on slide #18.

You will also receive a automated email from eGrants about the creation of your account – slide # 16.

Your Grantee Admin will also receive an automated email notifying that you have created a new account and to give you eGrants access privileges – slide # 17.

If you are the first person to create an eGrants account for your organization, you will be assigned the “Grantee Admin” role automatically and you will be able to access the eGrants system.

Done Internet

help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Thank you

If you have created an account for an existing organization, the grantee administrator for your organization (listed below) has been notified about your account request. The grantee administrator must grant you access before you can login to eGrants.

For additional assistance, please contact your eGrants support provider or the eGrants help desk at 888-677-7849. For more information about your support porvider go to http://www.cns.gov/egrants/ta.html .

- James Chicagoland

Return to CNCS website

Go to eGrants Login

Your Grantee Administrator's name/s will be listed at the bottom of this message.

Until your Grantee Admin assign you an eGrants user role which gives access privileges, you will not be able to access your organizations eGrants system.

508 Approved | eGrants Feedback | Contact Help Desk

Done

Internet

Microsoft Outlook Web Access - Mozilla Firefox

File Edit View Go Bookmarks Tools Help

Back Forward Reload Stop Home New Tab Bookmarks https://exchange.aiweb.com/exchange/

Firefox Help General Tables of Unit... Firefox Support Plug-in FAQ Yahoo!

Microsoft Outlook Web Access | Thank You

Outlook Web Access

Inbox
Junk E-mail
Calendar
Contacts
Tasks
Folders
Public Folders
Options
Log Off

Reply Reply to all Forward | Close | Help

From: eGrants Administrator [egrantshelp@cns.gov]
To: Kapila Wewegama
Cc:
Subject: New eGrants Account
Attachments:

Sent: Tue 2/21/2006 8:33 AM

View As Web Page

You will receive an automated email from eGrants system notifying the creation of a new account.

This is an automated E-mail message. Please do not reply to it.

A new login account has been created for you with the username and password you have specified.

The grantee administrator(s) for your organization have been notified about your account. The administrator must complete the registration process by adding the "Grantee" role to your account. Once this is done, you will be able to access eGrants.

The grantee administrator(s) for your organization is/are listed below:

James Chicagoland Email: kapila@ameritech.net

Done exchange.aiweb.com

start Microsoft O... VISTA Pres... Corporation... * ATION ..... http://www... https://egr... 2 Microsof... C:\Docume... 10:42 AM

New eGrants Account - Thunderbird

File Edit View Go Message Tools Help

Get Mail | Write | Address Book | Reply | Reply All | Forward | Delete | Junk | Print | Stop

Subject: New eGrants Account
From: eGrants Administrator <egrantshelp@cns.gov>
Date: 2/17/2006 10:43 AM
To: kapila@ameritech.net

eGrants Administrator

This is an automated E-mail message. Please do not reply to it.

John Donald registered for a new eGrants user account on February 17, 2006 at 10:43 AM.

For this person to have access to the system, you, as the grantee administrator, must grant the appropriate access. If you are using the new Phase II screens, click on the "My Account" link, then select the "Edit User Role/Permissions" link in the "Edit My Organization Info" section.

Then select the appropriate role(s) for John Donald.

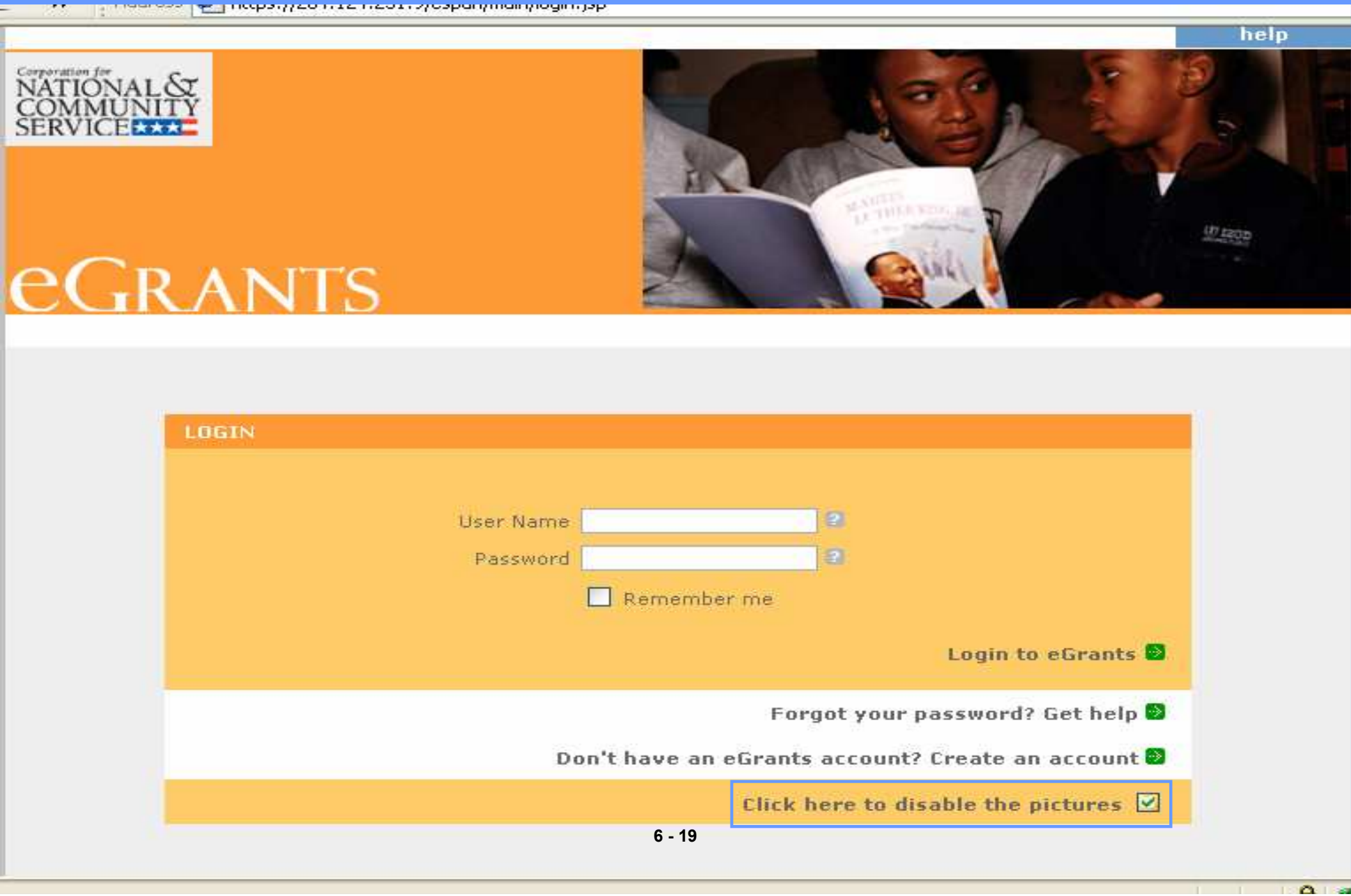
If you are using the eGrants "Classic" screens, use the Maintain People screen to assign him/her a role of 'Grantee'. If you prefer that he/she not have access to the budget details, then assign him/her the role 'Grantee (without budget privileges)' instead.

John Donald can be reached at (773) 000-0000 or via e-mail at kwewegama@ameritech.net.

Your Grantee Admin will receive an automated email from eGrants system notifying the creation of a new account.

start | Microsoft Outlo... | VISTA Present... | 4 Internet Ex... | 2 Microsoft O... | C:\Documents ... | Inbox for kapil... | New eGrants A... | 10:44 AM

Disable Pictures & Login



Account Home

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

	eGRANTS MESSAGES	MY GRANTS/APPLICATIONS
Welcome Ann 3/31/2006, 2:25 PM, EST	Welcome to eGrants!	View all application/grants 2 Concept Paper Initial Entry 2 Concept Paper Accepted 1 Concept Paper Rejected 5 Grantee Initial Entry 3 Awarded 1 Submitted to CNCS 5 Prime Applicant Initial Entry 1 Subapplicant Initial Entry 1 For Competitive Submission

Start a New Application	My Account	Grant Management
Click the links below to begin a new grant application or concept paper.	Click on the links below to access common account functions.	
Start a New Application	My Account	Create Continuation
Start a New Concept Paper	Equal Opportunity Survey	Amendment
	Org has users awaiting approval	Financial Status Report
		Progress Report
		PPVA Report

508 Approved | Report a Bug

View My Account

Address https://204.124.231.9/espan/gr_main/home.jsp?sid=201ea00c21c24348987e8c2635fb1ec0

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANT

How can I access my account?

Welcome Ann
3/6/2006, 3:10 PM, EST

Welcome to eGrants!

MY GRANTS/APPLICATIONS
- View all application/grants
- 3 Concept Paper Initial Entry
- 1 Concept Paper Accepted
- 4 Grantee Initial Entry
- 1 Awarded
- 5 Prime Applicant Initial Entry
- 1 Subapplicant Initial Entry

Start a New Application

Click the links below to begin a new grant application or concept paper.

Start a New Application

My Account

Click on the links below to access common account functions.

My Account
Equal Opportunity Survey
Org has users awaiting approval

Grant Management

Create Continuation
Amendment
Financial Status Report
Progress Report

.9/espan/gr_account/myaccount.jsp?sid=201ea00c21c24348987e8c2635fb1ec0

My Account Page

eGRANTS

Welcome Ann
3/6/2006, 3:29 PM, EST

Grantee Info

Ann Kirkland
123 Hope Street
Pleasanton, CA 96543
Status: Grantee

MY ACCOUNT

Update My Login Info...

You can change the following information by clicking on the links below:

- Change My Password
- Change My Password Q&A
- Change My Email Address
- View All

Edit My Organization Info...

You can change the following information by clicking on the links below:

- Update Organization's Contact Information
- Update Organization's Attributes
- Edit User Role/Permissions
- View All
- Change My Primary User Role

Update My Profile...

You can change the following information by clicking on the links below:

- View All

Update My Contact Info...

You can change the following information by clicking on the links below:

- View All

508 Approved | Report a Bug

Edit User Role/Permissions

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
3/7/2006, 12:57 PM, EST

Grantee Info

Ann Kirkland
123 Hope Street
Pleasanton, CA 96543
Status: Grantee

My Account

cancel | submit

Please change user role/permission below.

Beagle, Snoopy	No Access ...
Beagle, Snoopy	No Access ...
Kirkland, Patrick	Grantee with access to budget
Pagan, April	No Access ...

No Access ...

Grantee with access to budget
Grantee without access to budget
Grantee Admin

508 Approved | Report a Bug

cancel | submit

User Role Assigned

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann

3/7/2006, 12:58 PM, EST

Grantee Info

Ann Kirkland
123 Hope Street
Pleasanton, CA 96543
Status: Grantee

My Account

User Role/Permissions Setting Changed

Pagan, April: Grantee with access to budget

edit again

508 Approved | Report a Bug

Return to My Account Page

User Roles

- **Grantee without access to budget**
  - Have limited application information; no budget access.
  - Cannot update organizational information or assign user role.
  - Can authorize, assure, and certify.
- **Grantee with access to budget**
  - Have access to entire application information, including budget information.
  - Cannot update organizational information or assign user role.
  - Can authorize, assure, and certify.
- **Grantee Administrator**
  - Have access to entire application, including budget information.
  - Can update organizational information, and can assign user role.
  - Can authorize, assure, and certify. (*The Grantee Admin role is not synonymous with Authorized Representative.)
  - If you are the first person to create an account for your organization, by default, you will be the Grantee Admin.

View All to Update Organization Info.

EIN #: 987654321

Organization's Name: Kirkland County Rescue Mission

* Organization Type: Non-Profit

ORGANIZATIONAL CHARACTERISTIC(S)

Please enter the characteristic(s) that best describe your organization.

Org. Characteristic: **delete** Service/Civic Organization

Org. Characteristic: **delete** Community-Based Organization

Add additional Org. Characteristics

Update the Org. Info. and click **Submit**.

CONTACT INFORMATION

* Street Address 1: 123 Hope Street

Street Address 2:

* City: Pleasanton

* State: CA CALIFORNIA

* Zipcode: 96543 -

* Phone: 510 . 465 . 1234 ext.

Edit Password/Q&A, Update Email

eGRANTS

Welcome Ann
3/6/2006, 3:40 PM, EST

Grantee Info

Ann Kirkland
123 Hope Street
Pleasanton, CA 96543
Status: Grantee

My Account

cancel next

Please edit your login information below.

New Password:

Retype New Password:

Password Question: Pet's name

Password Answer: Snoopy

Email: test@cns.gov

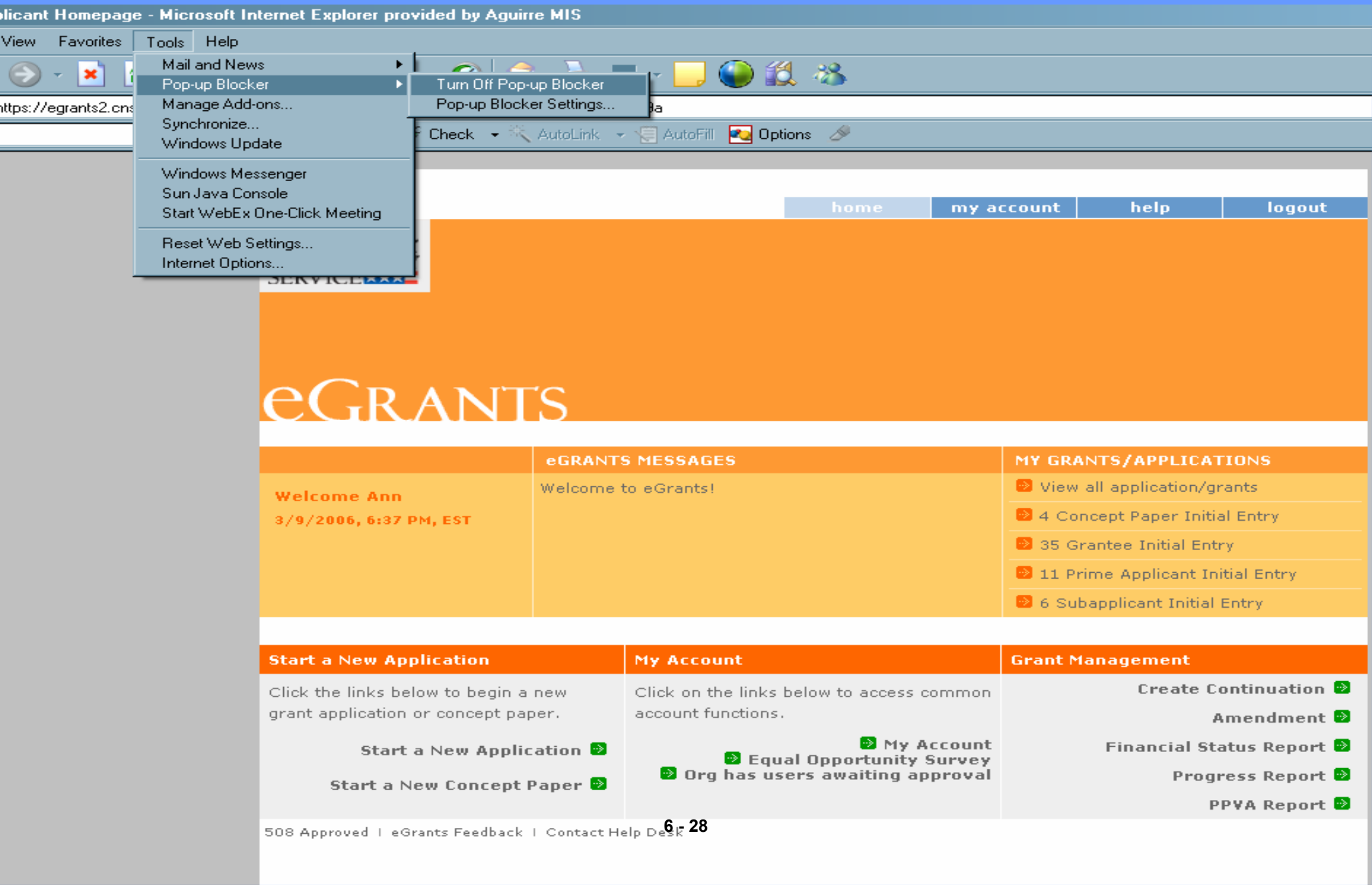
Retype e-mail: test@cns.gov

Click **View All** in **Update My Login Info…**

508 Approved | Report a Bug

cancel next

Turn off Pop-up Blocker



Disable Pictures & Login

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

LOGIN

User Name

Password

Remember me

The Corporation for National and Community Service actively monitors this system and software activity to maintain system security, availability, and to ensure appropriate and legitimate usage. Any individual who intentionally accesses a Federal computer or system without authorization, and who alters, damages, makes unauthorized modifications to, or destroys information in any Federal interest computer, or exceeds authorized access, is in violation of the Computer Fraud and Abuse Act of 1986 (Public Law 99-474). Any evidence of possible violations of proper use or applicable laws found as a result of this monitoring may be turned over to Corporation Management and law enforcement. Any individual found to be in violation of the system proper use rules or law could be punished with loss of system access, fines and imprisonment. By proceeding, you hereby acknowledge your agreement with these terms and consent to such monitoring and informational retrieval for law enforcement and other official purposes.

Login to eGrants

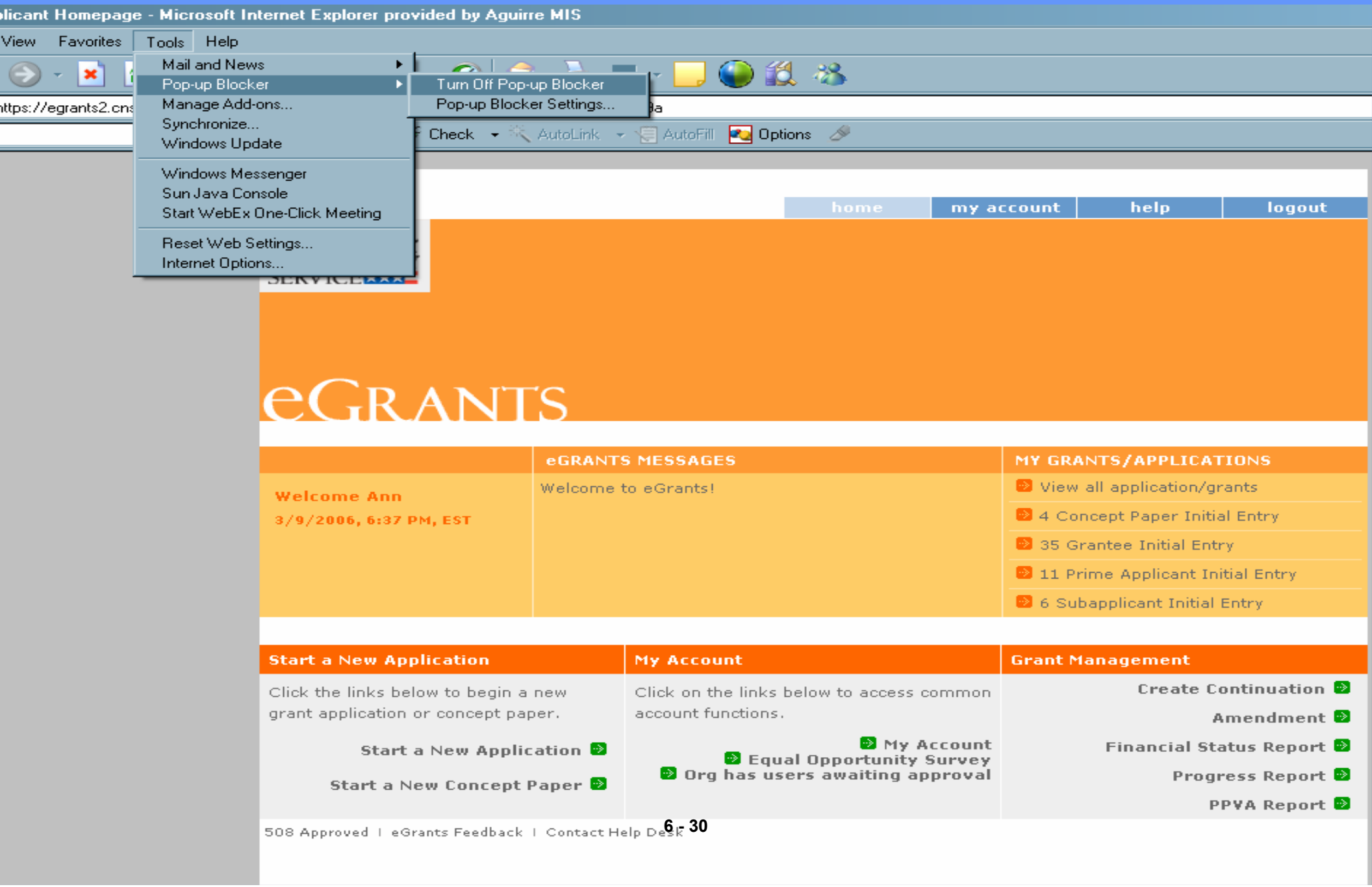
Forgot your password? Get help

Don't have an eGrants account? Create an account

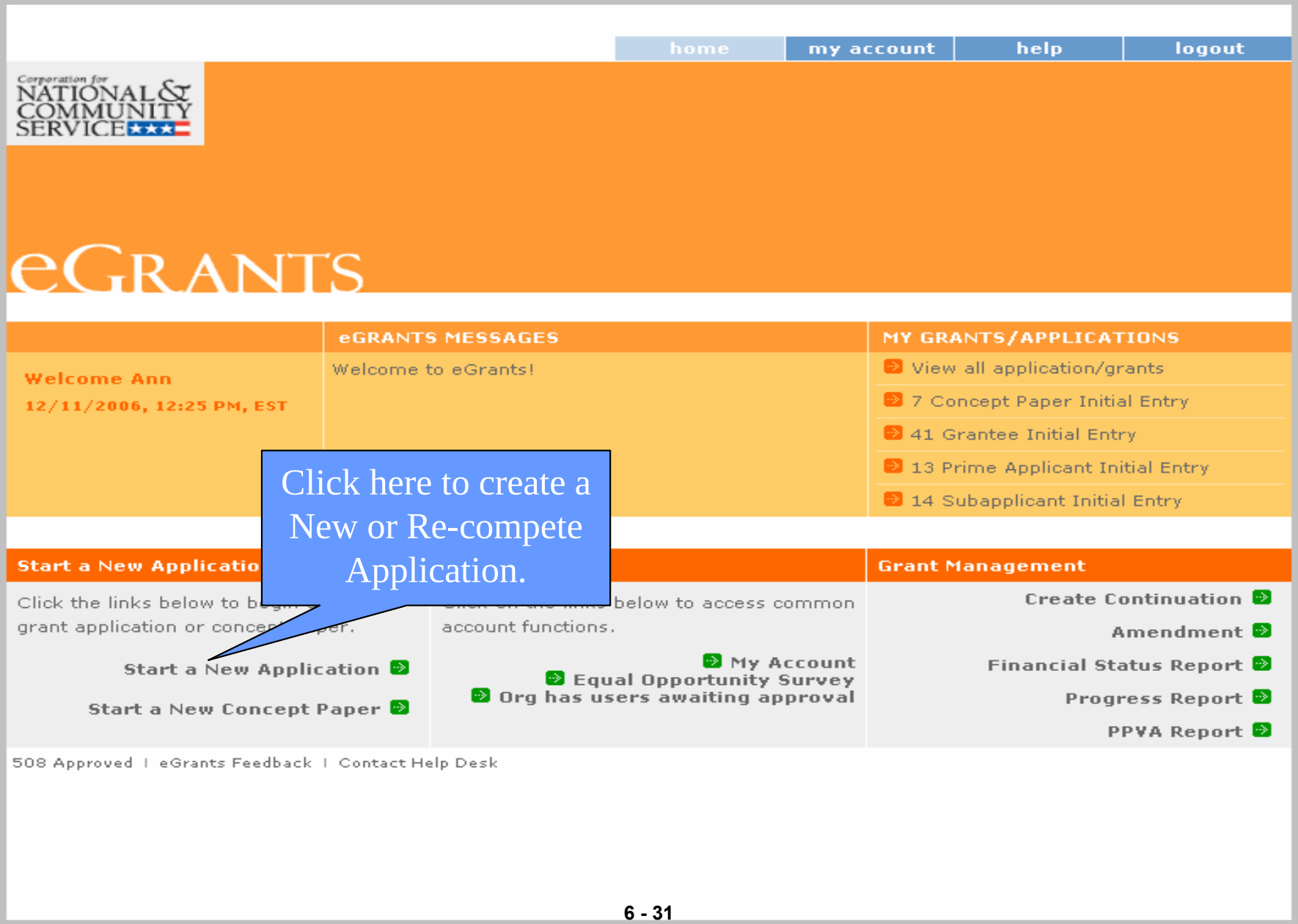
Click here to disable the pictures

Select this to help speed up the loading time.

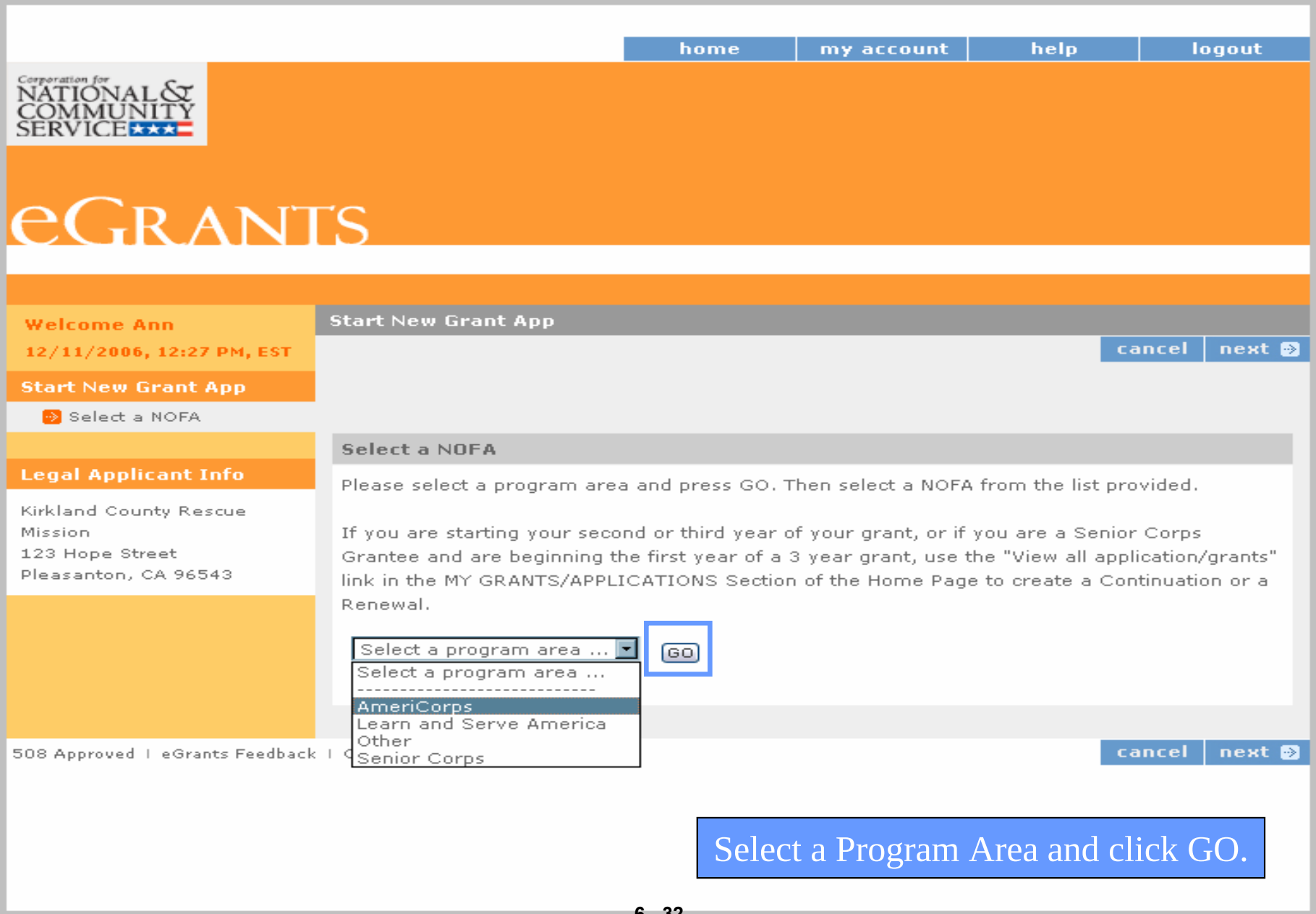
Turn off Pop-up Blocker



Create a New Application



Select a Program Area



Select a Program Area and click GO.

Select a NOFA

NOFA: **Notice of Funding Availability.**
Select and click **next**.

operate through state service commissions.

ducation Awards Program 2007
5/2007
purpose of this NOFA is to allow organizations operating in a single state to
Corps funding for Education Awards Programs through state commissions.
plicable to both New and Continuation applicants.

AmeriCorps Territories FY 2007 (Northern Mariana Islands and US Virgin Islands)
Due Date: 01/25/2007
Summary: The purpose of this NOFA is to allow local organizations in the Northern Mariana Islands and the U.S. Virgin Islands to apply for AmeriCorps State funds for FY2007. The Corporation will award grants on a formula based-allotment directly to organizations within the Commonwealth of the Northern Mariana Islands and to the U.S. Virgin Islands to promote and support community service in addressing critical community needs.

AmeriCorps National Direct FY 2007 (New)
Due Date: 02/15/2007
Summary: These grant funds support new/recompete multi-state, intermediary, or regional AmeriCorps programs.

AmeriCorps National Planning Grant FY 2007
Due Date: 02/15/2007
Summary: These grant funds support the design and development of multi-state, intermediary, and regional AmeriCorps programs.

AmeriCorps Indian Tribes FY 2007 (New)
Due Date: 02/15/2007
Summary: These grant funds support new/recompete Tribal AmeriCorps programs.

AmeriCorps National Education Awards Program 2007 - New
Due Date: 02/15/2007
Summary: The purpose of this NOFA is to allow institutions of higher education, state education agencies, non-profit organizations proposing multi-state programs, tribes and tribal entities proposing multi-state programs, and multi-state collaborations to apply for and administer Education Award Programs. This NOFA is applicable to new/recompete applicants only.

AmeriCorps National Professional Corps FY 2007 (New)
Due Date: 02/15/2007
Summary: These grant funds support multi-state Professional Corps AmeriCorps programs.

AmeriCorps States without Commissions FY 2007
Due Date: 02/15/2007
Summary: These grant funds support AmeriCorps programs operating in South Dakota and Puerto Rico.

508 Approved | eGrants Feedback | Contact Help Desk

cancel next

Confirm NOFA Information

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
12/11/2006, 12:32 PM, EST

Start New Grant App
- Initial Information

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant App

cancel | next

Initial Information

Please provide the following initial information needed to create an application for this NOFA. If you are creating a sub application, select a state, then a prime application. Selecting of a Prime is optional.

NOFA information

Please review the NOFA you selected. If this is not the correct NOFA, hit cancel.

NOFA: AmeriCorps Indian Tribes FY 2007 (New)
Due Date: 02/15/2007
Summary: These grant funds support new/recompete Tribal AmeriCorps programs.

Once you have confirmed that this is the correct NOFA, click next to create your application.

Confirm NOFA Information

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
12/11/2006, 12:33 PM, EST

Start New Grant App

Initial Information

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant App

cancel | next

Initial Information

Please provide the following initial information needed to create an application for this NOFA. If you are creating a sub application, select a state, then a prime application. Selecting of a Prime is optional.

NOFA information

Please review the NOFA you selected. If this is not the correct NOFA, hit cancel.

NOFA: AmeriCorps National Education Awards Program 2007 - New
Due Date: 02/15/2007
Summary: The purpose of this NOFA is to allow institutions of higher education, state education agencies, non-profit organizations proposing multi-state programs, tribes and tribal entities proposing multi-state programs, and multi-state collaborations to apply for and administer Education Award Programs. This NOFA is applicable to new/recompete applicants only.

Once you have confirmed that this is the correct NOFA, click next to create your application.

508 Approved | eGrants Feedback | Contact Help Desk

cancel | next

Applicant Info Section (Indian Tribes)

eGRANTS

Welcome Ann
1/9/2007, 5:15 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

save | next

Applicant Info

Please enter/review your applicant and program information.

NOFA information : change to another NOFA

Please review the NOFA you selected. If needed change your NOFA selection.

NOFA: AmeriCorps Indian Tribes FY 2007 (New)
Due Date: 02/15/2007
Summary: These grant funds support new/recompete Tribal AmeriCorps programs.

Applicant information

Applicant/User: Ann Kirkland

Authorized Representative:

Program information:

The program information section defines the name and location of the program, the state in which the volunteers or members will be serving, and the name and contact information for the program director.

You will need to create a new program to continue.
First-time applicants: Use the "create a new progra
program. (Hint: Select a unique program name for

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Create a new program to start.
Complete the fields in the pop-up box.
Once you click **save and close**, the main page will populate with additional fields.
Select or enter a new Project Director.

Enter Program Information

Sub Applications
Review
Authorize and Submit

AmeriCorps programs.

Applicant information

https://204.124.231.9 - Enter/Edit a Program - Microsoft Internet Explorer provided by Aguirre MIS

cancel | save & close

Enter/Edit a Program

Please enter/edit your program information. All questions marked with an asterisk (*)are required.

* Program Title:	Sample Project
* Program State:	CA California
* Street Address 1:	333 Main Street
Street Address 2:	
* City:	Burlington
* State:	CA California
* Zipcode:	43210 -
* Phone:	321 . 321 . 3210 ext.
Fax:	. .
Email:	

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cancel | save & close

Done | Internet

508 Approved | Report a Bug

save | next

Remember to click save & close to save the information entered and close the pop-up window.

Applicant Info Section (Education Award)

Start New

- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Applicant Info

Please enter/review your applicant and program information.

NOFA information : change to another NOFA

Please review the NOFA you selected. If needed change your NOFA selection.

NOFA: AmeriCorps National Education Awards Program 2007 - New
Due Date: 02/15/2007
Summary: The purpose of this NOFA is to allow institutions of higher education, state education agencies, non-profit organizations proposing multi-state programs, tribes and tribal entities proposing multi-state programs, and multi-state collaborations to apply for and administer Education Award Programs. This NOFA is applicable to new/recompete applicants only.

Applicant information

Applicant/User: Ann Kirkland

Authorized Representative:

Program information:

The program information section defines the name and location of the program, the state in which the volunteers or members will be serving, and the name and contact information for the program director.

First-time applicants: Use the "create a new program" link to enter the information about your program. (Hint: Select a unique program name for each application that you submit.) Continuation Requests and Recompete Applicants: Use the view/edit link to review the program name and address and update as necessary and confirm that the program name associated with this request matches the program name used last year.

Select a program: Test - This should be deleted
enter new | view/edit

Enter Program Model: enter/edit

Enter Program Design: enter/edit

Enter Program Location: enter/edit

Enter Program Focus: enter/edit

Program Director: Select a Program Director ...
enter new | view/edit

Program Website URL:

Create a new program to start.
Once you click **save and close**, the main page will populate with additional fields.
Select or enter a new Project Director.

Enter Program Model

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Applicant Info

cancel | save & close

Enter/Edit Program Model

Choose one primary program model and one secondary program model, if applicable. To change your selection, select a different item. To change one item from Primary to Secondary (or vice versa), select a different Primary Model and then return to the one you want as a Secondary.

Program Models (Select one for primary and another for secondary)

Youth Corps: A full-time, year-round youth corps program or full-time summer youth corps program, such as a conservation corps or youth service corps that undertakes meaningful service projects with visible public benefits: includes as participants youths and young adults between the ages of 16 and 25, inclusive, including out-of-school youths and other disadvantaged youth.

Select as: ○ Primary Model ◉ Secondary Model

Community Corps: A community corps program that meets unmet human, educational, environmental, or public safety needs and promotes greater community unity through the use of organized teams of participants of varied social and economic backgrounds, skill levels, physical and developmental capabilities, ages, ethnic backgrounds, or genders.

Select as: ◉ Primary Model ○ Secondary Model

Campus-based Model: A campus-based program that is designed to provide substantial service in a community during the school term and during summer or other vacation periods through the use of students who are attending an institution of higher education.

Done | Internet

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

The program information section defines the name and location of the program, the state in which the volunteers or members will be serving, and the name and contact information for the program director.

First-time applicants: Use the "create a new program" link to enter the information about your program. (Hint: Select a unique program name for each application that you submit.)

Program Model Entered

Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Applicant Info

Please enter/review your applicant and program information.

NOFA information : **change to another NOFA**

Please review the NOFA you selected. If needed change your NOFA selection.

NOFA: AmeriCorps National Education Awards Program 2007 - New
Due Date: 02/15/2007
Summary: The purpose of this NOFA is to allow institutions of higher education, state education agencies, non-profit organizations proposing multi-state programs, tribes and tribal entities proposing multi-state programs, and multi-state collaborations to apply for and administer Education Award Programs. This NOFA is applicable to new/recompete applicants only.

Applicant information

Applicant/User: Ann Kirkland

Authorized Representative:

Program information:

The program information section defines the name and location of the program, the state in which the volunteers or members will be serving, and the name and contact information for the program director.

First-time applicants: Use the "create a new program" link to enter the information about your program. (Hint: Select a unique program name for each application that you submit.) Continuation Requests and Recompete Applicants: Use the view/edit link to review the program name and address and update as necessary and confirm that the program name associated with this request matches the program name used last year.

Select a program:	Test - This should be deleted **enter new** | **view/edit**
Enter Program Model:	**entered/edited**
Enter Program Design:	**enter/edit**
Enter Program Location:	**enter/edit**
Enter Program Focus:	**enter/edit**
Program Director:	Select a Program Director ... **enter new** | **view/edit**
Program Website URL:	

Applicant Info Section

Welcome Ann
12/11/2006, 12:51 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072209

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Application Info

Please enter the requested application information below.

Areas affected by the program (Max. 1000 chars) List Cities, Counties or States

Program Start and End Dates

Proposed Start Date: Month / Day / 2006

Proposed End Date: Month / Day /

Year...

2003
2004
2005
2006
2007
2008
2009
2010

Other

The Application is Subject to Review by **State Execu** **r 12372** Process.
Yes No

If yes, please enter the date of the review. Month / Day / Year...

Applicant is Delinquent on any federal debt.
Yes No

If yes, please explain. (Max. 240 chars)

Narratives Page (Ed Award)

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eGRANTS

Welcome Ann
12/15/2006, 5:40 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072521

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland
Mission
123 Hop
Pleasant

508 Appro

Start New Grant Application

back next

Narratives

Please Enter or edit the Narrative for each category as appropriate

narrative entered narrative not entered

Executive Summary	4,000	view/edit narrative
Summary of Accomplishments and Outcomes	8,000	view/edit narrative
Rationale and Approach		view/edit narrative
Member Outputs and Outcomes		rative
Community Outputs and Outcomes		rative
Organizational Capacity		view/edit narrative
Budget/Cost Effectiveness		view/edit narrative
Amendment Justification	4,000	view/edit narrative

32,000/item, BUT
All items combined = < 71,000

Total Number of Characters for All = <**83,000**

Please refer to the application instructions for more information:
http://www.americorps.gov/pdf/05_1207_2006_AC_NATIONAL_APP_INSTR.pdf
Tip: Keep number of characters below limits to ensure smooth submission.

Evaluation Summary or Plan
for Indian Tribal Programs

IV. Evaluation Summary or Plan (Evaluation Summary or Plan Section)
Beginning in 2007, if you are an existing grantee recompeting for AmeriCorps funds for the first time since the AmeriCorps rule took effect (July, 2005), you must submit a summary of your evaluation efforts or plan to date, or a copy of any evaluation that has been completed, as part of your application for funding. Submit your summary or plan in the Evaluation Summary or Plan Narrative Field in eGrants. If you have a completed evaluation report when recompeting for the first time, submit your report according to the instructions in Section VII., below. If you again compete for AmeriCorps funding after a second three-year grant cycle, you are required to submit your completed evaluation report with your application for funding, according to the instructions in Section VII., below.

Application Instructions (Page 17):
http://www.americorps.gov/pdf/06_0618_nofo_ac_instructions.pdf

Narratives Page (Indian Tribes)

NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
12/15/2006, 5:43 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072513

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back next

Narratives

Please Enter or edit the Narrative for each category as appropriate

narrative entered narrative not entered

Executive Summary	4,000	view/edit narrative
Summary of Accomplishments and Outcomes	8,000	view/edit narrative
Rationale and Approach		view/edit narrative
Member Outputs and Outcomes		
Community Outputs and Outcomes		
Organizational Capacity		
Cost Effectiveness and Budget Adequacy		view/edit narrative
Evaluation Summary or Plan	10,000	view/edit narrative
Amendment Justification	4,000	view/edit narrative

32,000/item, BUT
All items combined = < 71,000

Total Number of Characters for All = <**93,000**

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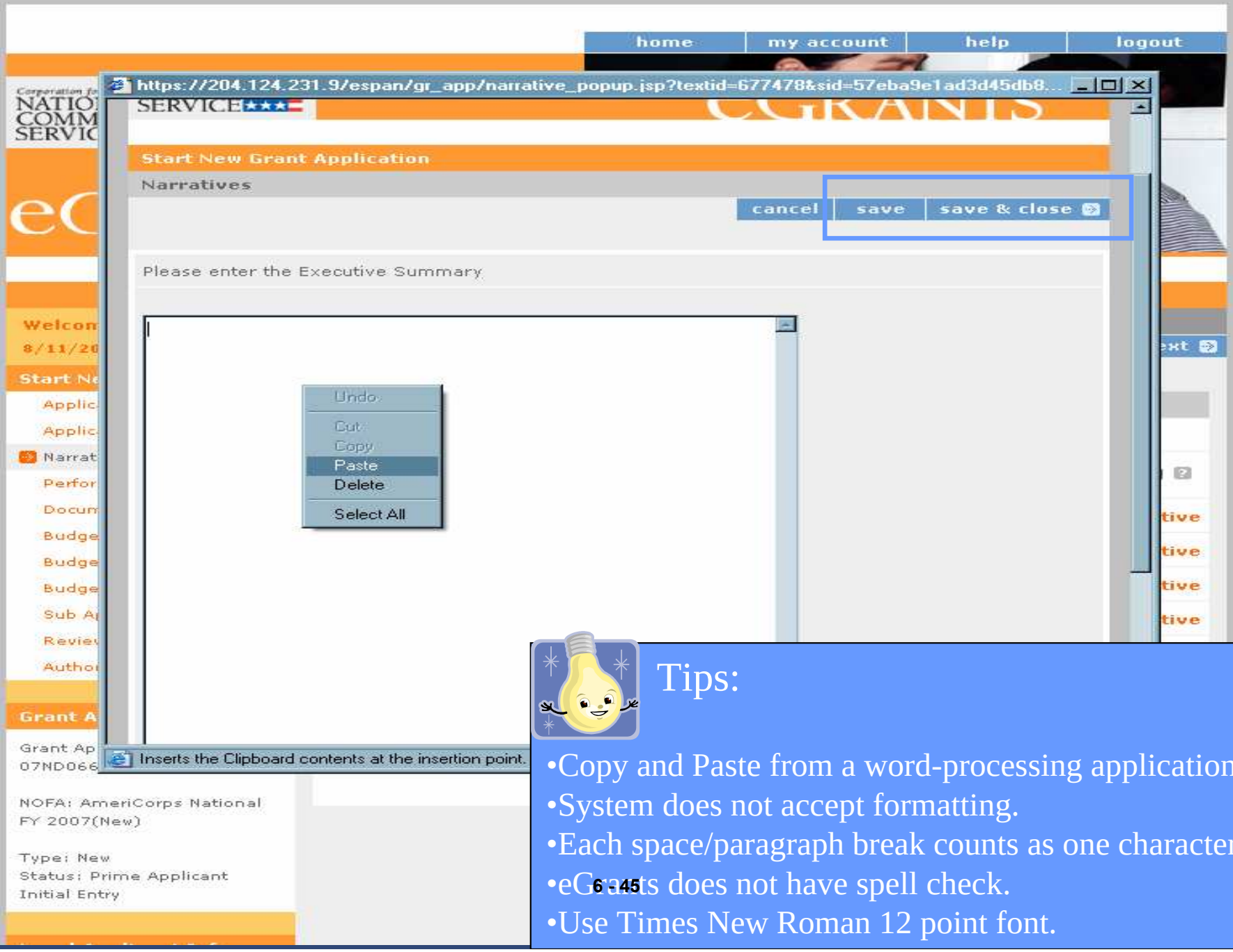
back next

view/edit narrative



Tips:

- Copy and Paste from a word-processing application.
- System does not accept formatting.
- Each space/paragraph break counts as one character.
- eGrants does not have spell check.
- Use Times New Roman 12 point font.

Completed Narrative

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
12/15/2006, 5:46 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072513

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | next

Narratives

Please Enter or edit the Narrative for each category as appropriate

narrative entered | narrative not entered

Executive Summary	view/edit narrative
Summary of Accomplishments and Outcomes	view/edit narrative
Rationale and Approach	view/edit narrative
Member Outputs and Outcomes	view/edit narrative
Community Outputs and Outcomes	view/edit narrative
Organizational Capacity	view/edit narrative
Cost Effectiveness and Budget Adequacy	view/edit narrative
Evaluation Summary or Plan	view/edit narrative
Amendment Justification	view/edit narrative

Enter text into each narrative field in order to submit.

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back | next

Performance Measures

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
1/9/2007, 5:05 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Performance Measures

In this section you will select service categories that describe your program activities. First select an Issue Area, and then choose one of the service categories on the pull-down menu. Use the "Add Service Category" link to select more than one. You will need to indicate which service category is the primary one, and which is the secondary. Only one service category can be indicated as the primary, and one as the secondary. After you have completed the Service Category section, enter your performance measures.

Service Categories and Performance Measures: add a service category

Performance Measures: add a performance measure

Click here to start.

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back | save | next

Add a Service Category – Select an Issue Area

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
1/9/2007, 5:06 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Performance Measures

In this section you will select service categories that describe your program activities. First select an Issue Area, and then choose one of the service categories on the pull-down menu. Use the "Add Service Category" link to select more than one. You will need to indicate which service category is the primary one, and which is the secondary. Only one service category can be indicated as the primary, and one as the secondary. After you have completed the Service Category section, enter your performance measures.

Service Categories and Performance Measures: add a service category

Issue Area: Select an Issue Area ... GO delete

- Select an Issue Area ...
- Community and Economic Development
- Disaster Recovery/Relief
- Education
- Environment
- Health/Nutrition
- Homeland Security
- Human Needs
- Housing
- Not Applicable
- Public Safety

Performanc ure

Select an **Issue Area** and click **GO**.

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back | save | next

Add a Service Category – Select an Service Category

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
1/9/2007, 5:08 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Performance Measures

In this section you will select service categories that describe your program activities. First select an Issue Area, and then choose one of the service categories on the pull-down menu. Use the "Add Service Category" link to select more than one. You will need to indicate which service category is the primary one, and which is the secondary. Only one service category can be indicated as the primary, and one as the secondary. After you have completed the Service Category section, enter your performance measures.

Service Categories and Performance Measures: add a service category

Issue Area: Education GO

Service Category: Select a Service Category ...

- Select a Service Category ...
- Adult Education and Literacy
- Afterschool Programs
- America Reads
- Computer Literacy
- Cultural Heritage
- ESL
- Elementary Education
- GED/Dropouts
- Head Start, School Preparedness
- Job Preparedness, School to Work

delete

Performance Mea

Select a **Service Category**.

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back | save | next

Service Categories Added

eGRANTS

Welcome Ann
1/9/2007, 5:09 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

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Start New Grant Application

back | save | next

Performance Measures

In this section you will select service categories that describe your program activities. First select an Issue Area, and then choose one of the service categories on the pull-down menu. Use the "Add Service Category" link to select more than one. You will need to indicate which service category is the primary one, and which is the secondary. Only one service category can be indicated as the primary, and one as the secondary. After you have completed the Service Category section, enter your performance measures.

Service Categories and Performance Measures: add a service category

Issue Area: Education
Service Category: **Elementary Education** — delete
☑ Primary ☐ Secondary

Issue Area: Education
Service Category: **Afterschool Programs** — delete
☐ Primary ☑ Secondary

Performance Measures: add a performance measure

Per the New Rule, you must have an aligned Performance Measure for your Primary Service Category (copy and paste the following link to a web browser):

http://www.americorps.gov/about/ac/americorps_rule_register.pdf

Add a Performance Measure

https://204.124.231.9 - Performance Measures - Microsoft Internet Explorer provided by Aguirre MIS

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Performance Measures

cancel | save

Performance Measures

Please fill in the performance measure information for each section..

General Info

Performance Measurement Title: Sample Performance Measure Title

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cancel | save

save

Type a title for your Performance Measurement. Click **save** to see additional fields populate.

Done

Internet

Select Measure Category and Service Category

https://204.124.231.9 - Performance Measures - Microsoft Internet Explorer provided by Aguirre MIS

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Performance Measures

cancel | save

Performance Measures

Please fill in the performance measure information for each section..

General Info

Performance Measurement Title: Sample Performance Measure Title

Measure Category: Needs and Service Activities

Service Category addressed by this Performance Measure Worksheet:

Select a Service Category ... GO

- Select a Service Category ...
- Elementary Education (Primary)
- GED/Dropouts (Secondary)
- Mentoring

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cancel | save

Make your selections and click **GO** to build your worksheet.

Internet

Legal Applicant Info

Performance Measure Worksheet

https://204.124.231.9 - Performance Measures - Microsoft Internet Explorer provided by Aguirre MIS

Start New Grant Application

Performance Measures

cancel | save | save & close

Performance Measures

Please fill in the performance measure information for each section..

General Info

Performance Measurement Title: Sample Performance Measure Title

Measure Category: Needs and Service Activities

Service Category addressed by this Performance Measure Worksheet:
Elementary Education (Primary) GO

Needs and Activities

Briefly describe the need to be addressed (Max. 4,000 characters)

Sample text...

Briefly describe how you will achieve this result (Max 4,000 chars.)

How Many AmeriCorps members will be participating in this activity? 30

How Many Days per week (on average) will this activity Occur? 0

How Many Hours per day (on average) will this activity Occur? 0 .0

When does this activity Begin? 01 / 01 / 2007

When does this activity End? Month / Day / Year...

Month

01
02
03
04
05
06
07
08
09

Results

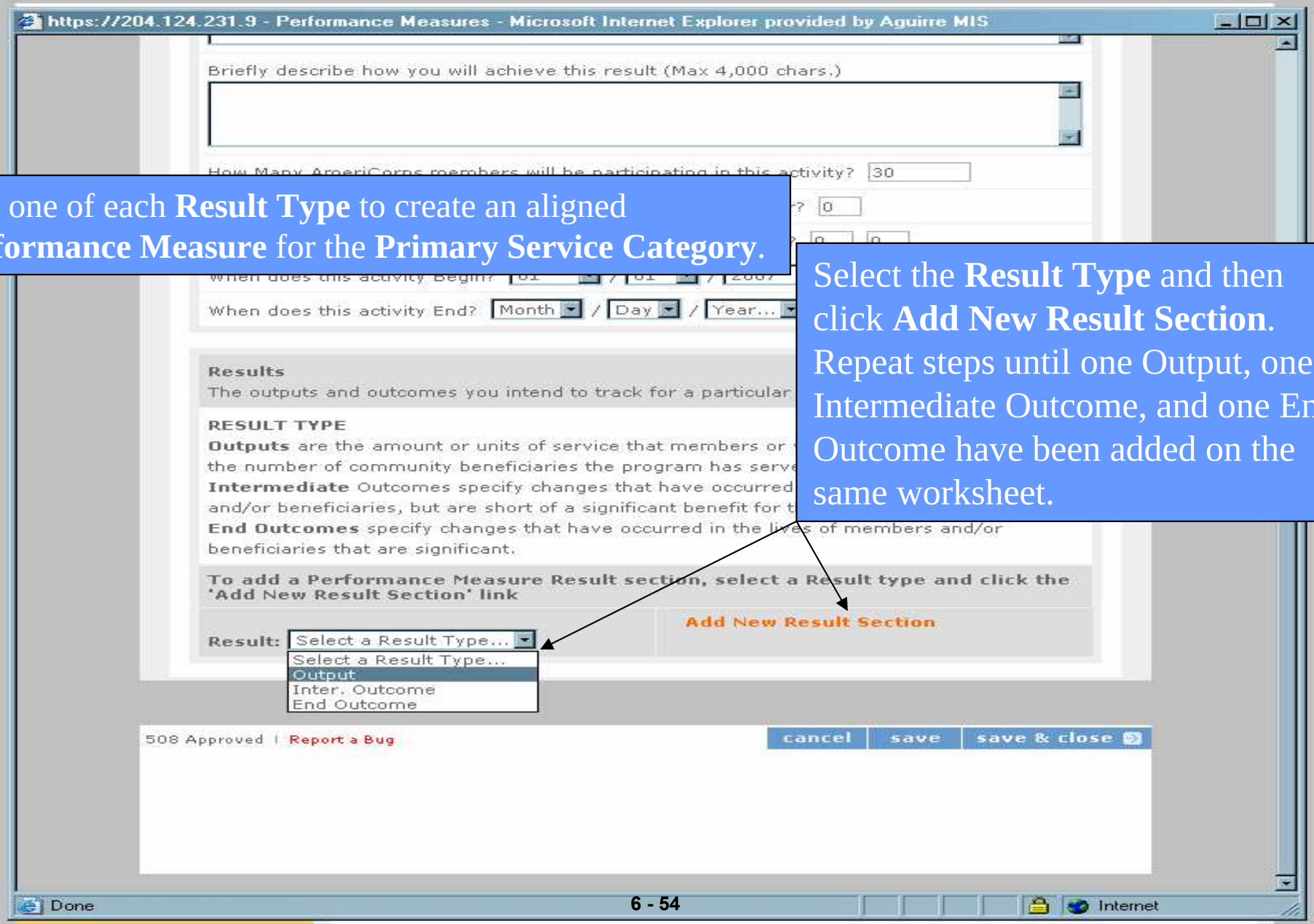
The outputs and outcomes you track for a particular activity

Done

Internet

Legal Applicant Info

Add a Result Section



Add one of each **Result Type** to create an aligned **Performance Measure** for the **Primary Service Category**.

Select the **Result Type** and then click **Add New Result Section**. Repeat steps until one Output, one Intermediate Outcome, and one End Outcome have been added on the same worksheet.

Output Result Added

https://egrants.cns.gov - Performance Measures - Microsoft Internet Explorer provided by Aguirre MIS

Result: Output

Delete this Result Section

RESULT STATEMENT

1-2 Sentences stating the expected Result..

INDICATORS

A specific, measurable item of information that specifies progress toward achieving a result.

Indicator: Select an Indicator...

TARGETS

Target Description

#(number) or %(percent)

#

INSTRUMENTS

Specific tool to collect information (e.g., behavior checklist, tally sheet, attitude questionnaire, interview protocol).

PERFORMANCE MEASURE STATEMENT

Combine expected results and targets into a sentence (Max 1,000 characters).

PRIOR YEARS' DATA

Report prior Years' data for this, if available (Max 1,000 characters).

To add a Performance Measure Result section, select a Result type and click the 'Add New Result Section' link

Result: Select a Result Type...

Add New Result Section

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cancel | save | save & close

Done

Internet

Intermediate Outcome – Other Indication Field

https://egrants.cns.gov - Performance Measures - Microsoft Internet Explorer provided by Aguirre MIS

Result: Inter. Outcome

Delete this Result Section

RESULT STATEMENT

1-2 Sentences stating the expected Result..

INDICATORS

A specific, measurable item of information that specifies progress toward achieving a result.

Indicator: Other...

Other Indicator

TARGETS

Target Description

#(number) or %(percent)

#

INSTRUMENTS

Specific tool to collect information (e.g., behavior checklist, tally sheet, attitude questionnaire, interview protocol).

PERFORMANCE MEASURE STATEMENT

Combine expected results and targets into a sentence (Max 1,000 characters).

PRIOR YEARS' DATA

Report prior Years' data for this, if available (Max 1,000 characters).

To add a Performance Measure Result section, select a Result type and click the 'Add New Result Section' link

Add New Result Section

Result: Select a Result Type...

Internet

Performance Measure – Main Page

eGRANTS

Welcome Ann
1/9/2007, 5:13 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072471

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Performance Measures

In this section you will select service categories that describe your program activities. First select an Issue Area, and then choose one of the service categories on the pull-down menu. Use the "Add Service Category" link to select more than one. You will need to indicate which service category is the primary one, and which is the secondary. Only one service category can be indicated as the primary, and one as the secondary. After you have completed the Service Category section, enter your performance measures.

Service Categories and Performance Measures: add a service category

Issue Area: Education
Service Category: **Elementary Education**
☑ Primary ☐ Secondary

Issue Area: Education
Service Category: **Afterschool Programs**
☐ Primary ☑ Secondary
delete

Performance Measures: add a performance measure

1. **Sample Performance Measurement Title**
Needs and Service Activities
Elementary Education
view/edit | delete

508 Approved | Report a Bug

back | save | next

Documents

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
1/9/2007, 5:24 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | save | next

Documents

Please select the appropriate status for each document.

Document Status List: add a new

status entered | status not entered

Document Name	Document Status	delete
Audit	Not Sent	
Evaluation	Not Sent	

Select Doc Status...

Already on File at CNCS
Not Applicable
Not Sent
Sent

Documents will be defaulted to **Not Sent**, you must change the status accordingly. If you do not change the status, you will not be able to submit the application.

508 Approved | Report a Bug

back | save | next

Review Page

eGRANTS

Welcome Ann
12/11/2006, 1:54 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072513

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back next

NOFA Information

- **NOFA:** AmeriCorps Indian Tribes FY 2007 (New)
- **Grant Application ID #:** 07TN072513
- **Due Date:** 02/15/2007
- **Summary:** These grant funds support new/recompete Tribal AmeriCorps programs.

View/Print your application

Please click on any of the following links to view/print a report.

- **Application for Federal Assistance:** view/print report
- **Budget:** view/print report
- **Budget Narrative:** view/print report
- **Funding Summary Chart:** view/print report
- **Notice of Grant Award:** view/print report
- **Organization/People Report:** view/print report
- **Program Summary Chart:** view/print report

Applicant Info: edit

- **Applicant/User:** Ann Kirkland
- **Authorized Representative:**
- **Applying Type:** New
- **Applying:** Directly to CNCS
- **Program:**
- **Program Initiative:**
- **Program Director:**
- **Program URL:**

Application Info: edit

- **Areas affected by the program:**
- **Program Start and End Dates:** ~
- **Subject to Review by State Executive Order 12372 Process:** No
- **Delinquent on any federal debt?** No

Narratives: edit

- Executive Summary: not entered

View Sample Report

https://egrants.cns.gov/espan/main/report.jsp?sid=c0a8020f30d53fa0722183ac46aaad84e7c4c71be28b& - Microsoft Internet Explorer p

File Edit Go To Favorites Help

Save a Copy Search Select 150% Adobe Reader 7.0

Pages

DRAFT

PART I - FACE SHEET

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION:
Non-Construction

IDENTIFIER:

The reports run in Adobe Acrobat PDF format and cannot be edited.
Any changes must be made in the eGrants system.
To save or print a report, simply click on the corresponding icon.

3. APPLICATION INFORMATION

LEGAL NAME: Kirkland County Rescue Mission

DUNS NUMBER:

ADDRESS *(give street address, city, state and zip code)*:
123 Hope Street
Pleasanton CA 96543

NAME AND CONTACT INFORMATION FOR PROJECT DIRECTOR OR OTHER PERSON TO BE CONTACTED ON MATTERS INVOLVING THIS APPLICATION *(give area codes)*:

NAME:

TELEPHONE NUMBER:

FAX NUMBER:

INTERNET E-MAIL ADDRESS:

6. EMPLOYER IDENTIFICATION NUMBER *(EIN)*:
987654321

7. TYPE OF APPLICANT:
7a. Non-Profit
7b.

8. TYPE OF APPLICATION:
[X] NEW [ ] CONTINUATION
[ ] REVISION
If Revision, enter appropriate letter(s) in box(es): [ ] [ ]
A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration

9. NAME OF FEDERAL AGENCY:
Corporation for National and Community Service

10a. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 94.006

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Attachments

Comments

1 of 4

Authorize and Submit Page

Welcome Ann
1/9/2007, 5:26 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back

Authorize and Submit

Please read the authorization, assurances and certifications below. If your name appears, please click on "I Agree." You must view or print the assurances/certifications before you can click on each "I Agree" for assurance or certification.

If your name does not appear, but you are the appropriate person for that section, you may click on it anyway.

If a section has already been agreed on by someone else, you can click on it yourself to override.

Authorization:

To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly auth y of the applicant and the applicant will comply with the attached e is awarded.

Authorized by:

I Agree

Active button

Assurances: view/print certification

I Will comply with relevant statutes as refe nd will meet the requirements of the grant award and have for federal assistance.

Authorized by:

I Agree

Inactive button

Certifications: view/print certification

By selecting "I Agree", you certify that you agree to perform all actions and support all intentions in the Certification sections of this Grant Application.

Authorized Certifying Official:

I Agree

Verify this Grant Application:

When an application is submitted, eGrants checks to make sure all the required information has been entered. You can optionally run this check before submitting by clicking this link. If

Authorized

Welcome Ann
1/9/2007, 5:27 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
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If your name does not appear, but you are the appropriate person for that section, you may click on it anyway.

If a section has already been agreed on by someone else, you can click on it yourself to override.

Authorization:

To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

Authorized by: Kirkland, Ann
Authorized on **01/09/2007**

I Agree

Assurances: view/print certification

I Will comply with relevant statutes as referenced in the assurances and will meet the requirements of the grant award and have the legal authority to apply for federal assistance.

Authorized by: Kirkland, Ann

I Agree

Certifications: view/print certification

By selecting "I Agree", you certify that you agree to perform all actions and support all intentions in the Certification sections of this Grant Application.

Authorized Certifying Official:

I Agree

Verify this Grant Application:

When an application is submitted, eGrants checks to make sure all the required information

Text for Assurances

Status: Grantee Initial Entry

Legal Applicant Info

Assurances: view/print certification

I Will comply with relevant statutes as referenced in the assurances and will meet the

http://egrants.cns.gov - Assurances - Microsoft Internet Explorer provided by Aguirre MIS

File Edit View Favorites Tools Help

Google Search Check AutoLink AutoFill

ASSURANCES

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

- Has the legal authority to apply for federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
- Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686). which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of disability (d) The Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the National and Community Service Act of 1990, as amended; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation

Done Internet

Assure

Welcome Ann
1/9/2007, 5:28 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back

Authorize and Submit

Please read the authorization, assurances and certifications below. If your name appears, please click on "I Agree." You must view or print the assurances/certifications before you can click on each "I Agree" for assurance or certification.

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Authorized by: Kirkland, Ann
Authorized on **01/09/2007**

I Agree

Assurances: view/print certification

I Will comply with relevant statutes as referenced in the assurances and will meet the requirements of the grant award and have the legal authority to apply for federal assistance.

Authorized by: Kirkland, Ann

I Agree

Active button

Certifications: view/print certification

By selecting "I Agree", you certify that you agree to perform all actions and support all intentions in the Certification sections of this Grant Application.

Authorized Certifying Official:

I Agree

Verify this Grant Application:

When an application is submitted, eGrants checks to make sure all the required information

Verify the Application

Review

Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Authorization:

To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

Authorized by: Kirkland, Ann
Authorized on **01/09/2007**

I Agree

Assurances: view/print certification

I Will comply with relevant statutes as referenced in the assurances and will meet the requirements of the grant award and have the legal authority to apply for federal assistance.

Authorized by: Kirkland, Ann
Authorized on **01/09/2007**

I Agree

Certifications: view/print certification

By selecting "I Agree", you certify that you agree to perform all actions and support all intentions in the Certification sections of this Grant Application.

Authorized Certifying Official: Kirkland, Ann
Certified on **01/09/2007**

I Agree

Verify this Grant Application:

When an application is submitted, eGrants checks to make sure all the required information has been entered. You can optionally run this check before submitting by clicking this link. If there are errors in your application, a box will be displayed explaining each error.

Verify this Grant Application

Submit this Grant Application:

Submit this Grant Application

Errors Page

https://204.124.231.9/espan/gr_app/validate_popup.jsp?app=07TN072524&sid=7f43cc2840114e0db8bd80

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Grant Application Validation

close

Application Errors List

Narratives
Summary of Accomplishments and Outcomes - Missing narrative

Narratives
Evaluation Summary or Plan - Missing narrative

Narratives
Member Outputs and Outcomes - Missing narrative

Narratives
Rationale and Approach - Missing narrative

Narratives
Amendment Justification - Missing narrative

Narratives
Community Outputs and Outcomes - Missing narrative

Narratives
Cost Effectiveness and Budget Adequacy - Missing narrative

Narratives
Executive Summary - Missing narrative

Done | Internet

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back

Correct all errors and verify again.
If you have verified without any errors, submit the application.

Submit Confirmation

Note: Once you have submitted, you will not be able to edit your Application.

Thank you

You have successfully submitted your Grant Application to CNCS on Friday, 03/31/2006 at 15:13, EST.

Please proceed to the Survey on Ensuring Equal Opportunity for Applicants.

Go to your eGrants home

508 Approved | Report a Bug

Go to Home Page

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
1/9/2007, 5:33 PM, EST

eGRANTS MESSAGES

Welcome to eGrants!

MY GRANTS/APPLICATIONS

- View all application/grants
- 7 Concept Paper Initial Entry
- 41 Grantee Initial Entry
- 1 Awaiting PO Certification
- 4 Submitted to CNCS
- 12 Prime Applicant Initial Entry
- 14 Subapplicant Initial Entry
- 1 Scheduled for Review

Start a New Application

Click the links below to begin a new grant application or concept paper.

- Start a New Application
- Start a New Concept Paper

My Account

Click on the links below to access common account functions.

- My Account
- Equal Opportunity Survey
- Org has users awaiting approval

Grant Management

- Create Continuation
- Amendment
- Financial Status Report
- Progress Report
- PPVA Report

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Budget Sections

- Education Award
  - Budget Section 2
- Indian Tribes
  - Budget Section 1
  - Budget Section 2
  - Budget Section 3

Budget Section (Ed Award Programs)

home | my account | help | logout

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Welcome Ann
12/11/2006, 2:05 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 2
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07ED072209

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back | next

Budget Section II. AmeriCorps Member Positions - Enter Source of matching funds

Please enter the necessary budget information for your project.

Member Positions

Item	# Mbrs	Allowance Rate	# w/o Allow	Total Amount	CNCS Share	Grantee Share	edit	del
Full Time (1700 hrs)				$0	$0	$0	edit	
1-Year Half Time (900 hours)				$0	$0	$0	edit	
2-Year Half Time (1st Year)				$0	$0	$0	edit	
2-Year Half Time (2nd Year)				$0	$0	$0	edit	
Reduced Half Time (675 hrs)				$0	$0	$0	edit	
Quarter Time (450 hrs)				$0	$0	$0	edit	
Minimum Time (300 hrs)				$0	$0	$0	edit	
Subtotal	0	$0	0	$0	$0	$0	MSY	Cost/MSY
							0	$0

Fixed Award : add a new budget item

Budget Section (Ed Award Programs)

Grant Application Info

Grant Application ID: 07ED072209

NOFA: AmeriCorps National Education Awards Program 2007 - New

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Full Time (1700 hrs)				$0	$0	$0	edit	
1-Year Half Time (900 hours)				$0	$0	$0	edit	
2-Year Half Time (1st Year)				$0	$0	$0	edit	
2-Year Half Time (2nd Year)				$0	$0	$0	edit	
Reduced Half Time (675 hrs)				$0	$0	$0	edit	
Quarter Time (450 hrs)				$0	$0	$0	edit	
Minimum Time (300 hrs)				$0	$0	$0	edit	
Subtotal	0	$0	0	$0	$0	$0	MSY	Cost/MSY
							0	$0

Fixed Award : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Program grant request		$0	$0	$0	edit	
Subtotal		$0	$0	$0		

Subtotal:

Total Amount	CNCS Share	Grantee Share
$0	$0	$0
	0%	0%

Validate this budget

508 Approved | eGrants Feedback | Contact Help Desk

back next

Source of Matching Funds

For EAPs Only:
If you are applying for an EAP grant, you may only request a fixed amount of funding per MSY. Therefore, you are not required to complete a detailed budget. Follow the instructions in Appendix G to prepare your budget. Your budget worksheet can be found in Appendix H. Consult the most current *Notice* to determine the maximum amount of funding per MSY you may request. The matching requirements in 45 CFR §§ 2521.40– 2521.95, do not apply.

Application Instructions (Page 19):
http://www.americorps.gov/pdf/06_0618_nofo_ac_instructions.pdf

Enter Budget Item

https://egrants.cns.gov/espan/gr_app/budgetentry_popup.jsp?app=07ED072209&cat=3600&etysprsbt...

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Budget - Member Positions

cancel | save & close

Please enter the necessary budget information for your project.

* Item: Full Time (1700 hrs)

* # Mbrs:

* Allowance Rate: $.

* # w/o Allow:

Total Amount: $0.00

* CNCS Share: $0 .00

* Grantee Share: $0 .00

508 Approved | eGrants Feedback | Contact Help Desk

cancel | save & close

Done

Internet

Validate this budget

508 Approved | eGrants Feedback | Contact Help Desk

back | next

Budget Validated without Errors

https://204.124.231.9/espan/gr_app/budgetvalidate_popup.jsp?app=06ND057658&sid=6a0718b...

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start Continuation Grant Application

Budget Validation

close

No Budget errors were found!

The Budget has been validated without errors.

508 Approved | Report a Bug

close

Budget Section 1 (Indian Tribes)

eGRANTS

Welcome Ann
1/9/2007, 5:38 PM, EST

Start New
- Applicant Info
- Application Info
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- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back next

Budget Section I. Program Operating Costs - Enter Source of matching funds

Please enter the necessary budget information for your project.

Personnel Expenses : add a new budget item

Position/Title	Qty	Annual Salary	% Time	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal								

Personnel Fringe Benefits : add a new budget item

Purpose	Calculation	Tot Am
Subtotal		

Staff Travel : add a new

Purpose	Calculation	Tot Am
Subtotal		

Member Travel : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal						

Equipment : add a new budget item

Item/Purpose	Qty	Unit Cost	Total Amount	CNCS Share	Grantee Share	edit	del

Click on the orange links to add information. Each budget section has its own source of matching funds text field that corresponds to the subject heading – i.e. Section 1 is Program Operating Costs.

Enter Source of Matching Funds

https://204.124.231.9/espan/gr_app/budgetfunds_popup.jsp?app=06ND057658&cat=...

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start Continuation Grant Application

cancel | save & close

Please enter the source of matching funds in the textbox below.

Source of Matching Funds (Max. 1000 chars)

Sample Matching Funds

508 Approved | Report a Bug

cancel | save & close

Add a New Budget Item

https://204.124.231.9/espan/gr_app/budgetentry_popup.jsp?app=07TN072524&cat=2810&etysprsbtypcd= - Micr...

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start New Grant Application

Budget - Personnel Expenses

cancel | save & close

Please enter the necessary budget information for your project.

* Position/Title: Project Manager
* Qty: 1
* Annual Salary: $ 50000 .00
* % Time: 100 .00 %
Total Amount: $50,000.00
* CNCS Share: $ 20000 .00
* Grantee Share: $ 30000 .00

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cancel | save & close

Done | Internet

Legal Applicant Info

Purpose	Calculation	Total	CNCS	Grantee Share	edit	del

Reminder: Click **save & close.**

Budget Section 1

Welcome Ann
1/9/2007, 5:40 PM, EST

Start New
- Applicant Info
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- Budget Section 1
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- Budget Section 3
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Grant Application ID: 07TN072524

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Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

Start New Grant Application

back next

Budget Section I. Program Operating Costs - Enter Source of matching funds

Please enter the necessary budget information for your project.

Personnel Expenses : add a new budget item

Position/Title	Qty	Annual Salary	% Time	Total Amount	CNCS Share	Grantee Share	edit	del
Project Manager	1	$50,000	100%	$50,000	$20,000	$30,000	edit	del
Subtotal	1	$50,000		$50,000	$20,000	$30,000		

Personnel Fringe Benefits : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal						

Staff Travel : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal						

Member Travel : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal						

Equipment : add a new budget item

Item/Purpose	Qty	Unit Cost	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal							

Budget Section 2

Welcome Ann
1/9/2007, 5:40 PM, EST

Start New

- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Kirkland County Rescue Mission
123 Hope Street
Pleasanton, CA 96543

back next

Budget Section II. Member Costs – Enter Source of matching funds

Please enter the necessary budget information for your project.

Living Allowance

Item	# Mbrs	Allowance Rate	# w/o Allow	Total Amount	CNCS Share	Grantee Share	edit	del
Full Time (1700 hrs)				$0	$0	$0	edit	
1-Year Half Time (900 hours)				$0	$0	$0	edit	
2-Year Half Time (1st Year)				$0	$0	$0	edit	
2-Year Half Time (2nd Year)				$0	$0	$0	edit	
Reduced Half Time (675 hrs)				$0	$0	$0	edit	
Quarter Time (450 hrs)				$0	$0	$0	edit	
Minimum Time (300 hrs)				$0	$0	$0	edit	
Subtotal	0	$0	0	$0	$0	$0	MSY	Cost/MSY
							0	$0

Member Support Costs : add a new budget item

Purpose	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
FICA for Members		$0	$0	$0	edit	
Worker's Compensation		$0	$0	$0	edit	
Health Care						
Subtotal						

Default items in the system can only be edited and not deleted. To enter/edit information, click **edit**.

Budget Section 3

eGRANTS

Welcome Ann
1/9/2007, 5:41 PM, EST

Start New
- Applicant Info
- Application Info
- Narratives
- Performance Measures
- Documents
- Budget Section 1
- Budget Section 2
- Budget Section 3
- Review
- Authorize and Submit

Grant Application Info

Grant Application ID: 07TN072524

NOFA: AmeriCorps Indian Tribes FY 2007 (New)

Type: New
Status: Grantee Initial Entry

Legal Applicant Info

Start New Grant Application

back next

Budget Section III. Administrative/Indirect Costs - Enter Source of matching funds

Please enter the necessary budget information for your project.

Corporation Fixed Percentage

Item	Calculation	Total Amount	CNCS Share	Grantee Share	edit	del
Corporation Fixed Amount		$0	$0	$0	edit	
Subtotal		$0	$0	$0		

Federally Approved Indirect Cost Rate : add a new budget item

Cost Type	Cost Basis	Calculation	Rate	Rate Claimed	Total Amount	CNCS Share	Grantee Share	edit	del
Subtotal									

Subtotal:

You must validate the budget after entering all information in order to submit your application. Validating ensures that all information entered was entered correctly.

Validate this budget

Budget Validated without Errors

https://204.124.231.9/espan/gr_app/budgetvalidate_popup.jsp?app=06ND057658&sid=6a0718b...

Corporation for NATIONAL & COMMUNITY SERVICE

eGRANTS

Start Continuation Grant Application

Budget Validation

close

No Budget errors were found!

The Budget has been validated without errors.

508 Approved | Report a Bug

close

Contact and Information

- eGrants Help Desk: 1-888-677-7849 (x533)
  (email: egrantshelp@cns.gov)
  - Technical Questions/Issues
- CNCS Program Officer:
  - Content Information
  - Coaching/Training Requests
- Project STAR: 1-800-548-3656
  - Assistance with Performance Measures
- Application Instructions:
  http://www.americorps.gov/pdf/06_0618_nofo_ac_instructions.pdf

CHAPTER 7 – TABLE OF CONTENTS

A. Introduction.....7-1

B. WBRS On Line Help.....7-2

C. About WBRS 7-3

CHAPTER 7
INTRODUCTION TO
WEB-BASED REPORTING SYSTEMS

A. Introduction

Web-Based Reporting Systems information management tools summarize and display member and programmatic information. The data gathering process starts with AmeriCorps members filling out forms on program activities that go along with financial data you reported to WBRS. WBRS can then provide reports on member profiles and your program. WBRS is also a tool for preparing and transmitting Periodic Expense Reports and Financial Status Reports. WBRS provides users with a set of instructions to use to access and use its system. Steps in that sequence include:

- Logging On
- Filling out the Grantee Information Profile
- Enrolling Members
- Tracking member hours
- Documenting End of Term
- Submitting a Periodic Expense Report
- Submitting a Financial Status Report
- Preparing reports on members sorted by time logs, status, slot type, etc
- Filing Reports on Progress and Member Enrollment

WBRS also provides ongoing problem solving and technical assistance through access to practice databases and a help desk.

NOTES:

B. WBRS ON LINE HELP

The Corporation for National and Community Service supports an on line help function. The website is http://WBRS-3interliant.com/wbrs/wbrsonlinehelp.nsf The site provides information about WBRS in the following areas:

1. Before You Use WBRS
2. WBRS Basics
3. Program/Site and User Administration
4. Member Forms and Worksheets
5. Financials
6. WBRS Tools
7. Security and Auditability
8. WBRS as a Management Tool
9. Add a Member Tutorial
10. NEW APR (2003-2004 and later)
10. Old APR (2002-2003 and earlier)
11. Grantee Progress Report (GPR)
12. Action by CNCS Officers
13. Frequently Asked Questions
14. Tutorials

NOTES:

WBRS FAQ

Top Thirteen Questions / Problems Received by the WBRS Help Desk

*1. I can't **log on**!*

Please see the **Login Troubleshooting** Section of the user manual. If you're from a National Direct operating site, or a program under a State Commission, you may need to work with your contact at the Parent Organization or Commission to have them change your password for you.

*2. How do I **find and edit time logs** I have created?*

If you find yourself creating new timelogs when you're trying to look at or edit the ones you've already created, you're starting from the wrong place. The **Time Logs** section of the manual will get you where you need to be.

*3. I made a change in an old **time log**. Why don't the later time logs I had already created update their totals with the new information?*

Check the **Refreshing Time Logs** section of the manual. It explains what's going on, and gives instructions for updating the totals on later time logs.

*4. Why can't I see the members I added for the new Program Year when I click on the **Main Member View**?*

The main view probably still defaults to the previous program year. For example, even though you may have just entered 00-01 members, when you click on *Main View* under the *Members* tab WBRS probably puts you in the 1999-2000 member view. Click the green *All Years* link in the upper right to see members from other years.

NOTES:

*5. There is an **error** on the **Member Profile**, but I already approved the enrollment form and it's been downloaded to the Trust.*

Some of the information on the Member Profile can be changed by reopening the profile and editing it. Once an enrollment form has been downloaded, there are different procedures. See **Correcting Member Information**.

*6. WBRS won't let me exit a member who served beyond the **required completion date**.*

You'll need to work with your Program Officer to determine how to resolve the situation.

*7. I made a change in an old **Periodic Expense Report** and the PERs I had already created now show incorrect YTD totals. Do they need to be updated?*

You probably don't need to update existing PERs, but you can if you want to. The **Refresh the Periodic Expense Report** section of the manual explains what's happening.

*8. My program's **start date** is wrong!*

Grantee Information Profiles are sent to WBRS from eGrants. Some of the information can be edited by the Commission or Parent Organization. See **Making Changes to Grantee Information Profiles**.

*9. The number of **slots** showing on my Grantee Information Profile is not correct.*

If the original number of slots was uploaded incorrectly (*check the Slots Granted* section on the Grantee Profile), you may need to do a **Slot Correction**. If the *Slots Currently Used* section doesn't accurately reflect the number of members you've entered into WBRS, try **resetting the slots**. This tells WBRS to go back and count all the member forms again.

NOTES:

*10. Do **two-year members** need to be entered into both grant years?*

No. Two year members should be entered into WBRS under the grant year they originally enrolled. They'll remain under that grant year for the duration of their service.

*11. How do I get a **slot correction** approved?*

The **Slot Conversions and Corrections** section explains the process for getting slot corrections approved.

*12. When I tried to **create an FSR** I got this message: "There is a Periodic Expense Report that extends beyond the Financial Status Report ending date. Please correct before creating a Financial Status Report" What's up with that?*

You cannot create an FSR for a period if PERs have been created past the end of that period. To create an FSR in this situation, you must first delete all the later PERs.

*13. How do I get my **user role** changed or add a new user?*

Once you're entered as a user, you cannot change your user role. But your profile can be removed, and you can be added again. The **Adding a New User** section tells how.

NOTES:

Welcome to Web Based Reporting System (WBRS)! The WBRS Team at Project TASC developed the WBRS system to make reporting and data tracking easier for AmeriCorps Programs, State Commissions and National Direct Parent Organizations; and to help make the data you collect a useful management tool. This section explains the basic concepts and functioning of the system.

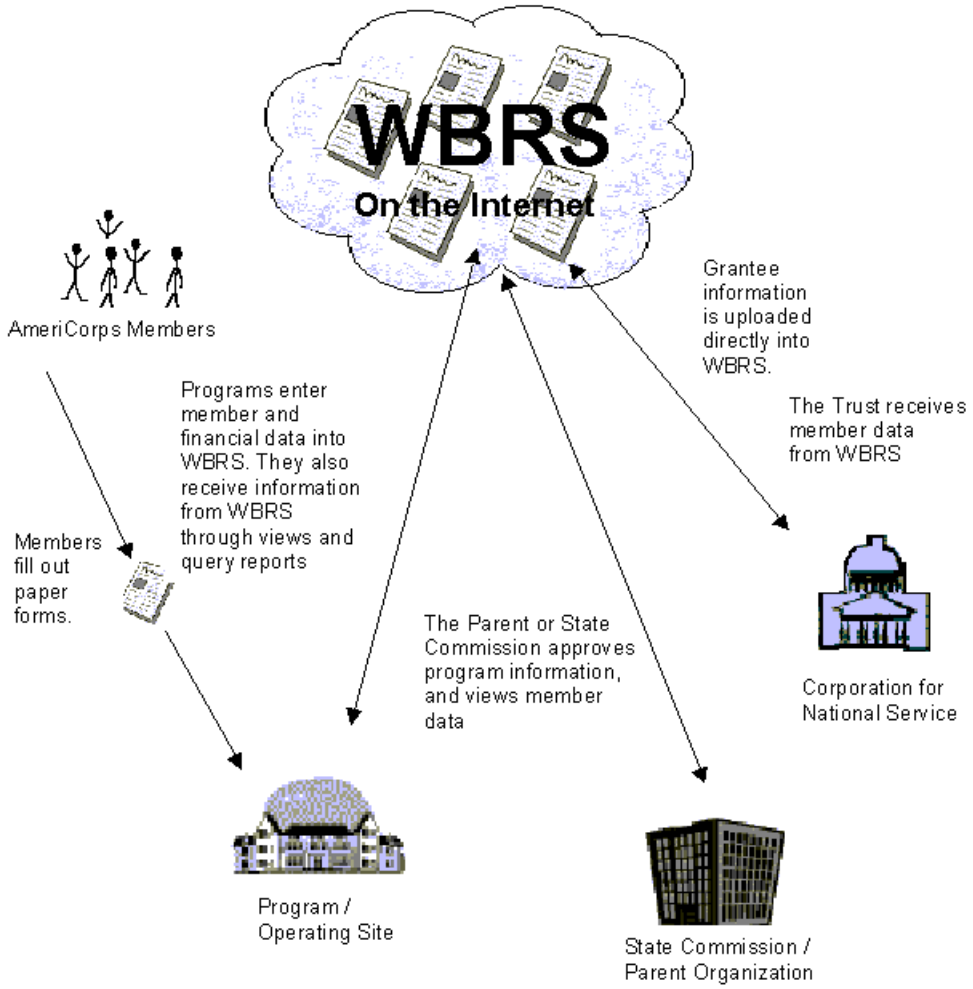
History and Description of WBRS

WBRS uses a secure *Lotus Notes* database on a web server for the transacting of information among AmeriCorps sites, programs, State Commissions, Parent Organizations and the Corporation for National Service. The forms in WBRS were designed to look like the paper forms previously used. Worksheets for building these forms are included in WBRS. These worksheets are based on State Commission experiences and are designed to minimize common reporting problems. The system is designed to streamline reporting to the Corporation.

WBRS was developed under Project TASC at Aguirre International. The Maine and California State Commissions helped guide the development and testing of WBRS prototypes. In the fall of 1998, eight additional states came on board to pilot the system.

The databases are located on several central servers, which users access via their web browser. This centralization gives all authorized users a huge information resource. For example, a State Commission user in Sacramento who wants to know the number of member slots filled at a Los Angeles Program can now do so within minutes after the program director has submitted it; this eliminates back-and-forth telephoning and emailing.

The following schema depicts WBRS's role as an information database.



AmeriCorps members still fill out paper forms, so their signature is on file, but now the information from those forms is entered into a WBRS database. Programs can then view their member information in a variety of ways through views and query reports. Financial reports are also done with WBRS (**PERs** and **FSRs**). Some forms (e.g., **Enrollments** and **Exits**) are downloaded to the National Service Trust after they've been saved as approved.

Program and budget information (see **Grantee Information Profiles** and **Budgets**) is uploaded to WBRS from the Corporation's grants database. State commissions and parent organizations then approve these documents.

Commissions and parent organizations have read-access to member documents at programs, but also use WBRS for their own reporting (**GPRs** and **Aggregate FSRs**). Parent Organization users have the further ability to create, modify and delete site-level forms, which include member forms and reports.

All Corporation officers have read-access to ***approved*** WBRS documents—they will not see unapproved documents.

Advantages over paper systems

WBRS was designed and implemented in response to a paperwork reduction initiative in data collection and workflow. WBRS enjoys several advantages over the current paper system:

- **Data integrity is preserved,** since only one data set exists, in a central location.

Welcome to Web Based Reporting System (WBRS)! The WBRS Team at Project TASC developed the WBRS system to make reporting and data tracking easier for AmeriCorps Programs, State Commissions and National Direct Parent Organizations; and to help make the data you collect a useful management tool. This section explains the basic concepts and functioning of the system.

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The following schema depicts WBRS's role as an information database.

This information is for all WBRS users at State Commissions, Parent Organizations, Programs and Sites.

Computer
WBRS works best on a Pentium PC or better, or a Power Macintosh or better. Programs may be able to make do with a machine like a PC 486 or a Mac Classic II as long as they have a fast modem, and there is sufficient memory to run one of the browsers specified below.

Internet connection
DSL, T1 Lines...
Users access their WBRS database via the Internet. DSL and T1 connections are both appropriate. "Online service providers" like *AOL* and *Compuserve* coupled with one of the browsers below are adequate, but they are not ideal as they present special training issues for novice users.

Modems
WBRS works very well via a dial-up connection using a modem of 28.8 K Baud or higher.

Browser
WBRS works best with *Netscape 3.0* or higher, or Microsoft *Internet Explorer 4.0* or higher. Preliminary tests have shown that *Opera 3.0* or higher will also work. (*Opera* is a browser of very small file size that may be best for a 486 machine.)

The WBRS Help Desk

The automated Help Desk enables users to log a help request directly from the WBRS menu. Requests from users at the operating site or AmeriCorps State program level go to their Parent Organization or State Commission, respectively. Commissions and Parent Organizations can escalate requests to WBRS tech support staff if necessary. When you click on the Help Desk link from the Basics tab, you'll see a menu of Help Desk options.

It is very important that:

a. All users have correct contact information—especially e-mail addresses—in their user profiles
b. Each user have his or her own profile
c. Users not log on using a colleague's user name and password
d. Users not share their passwords with anyone—including commission staff—even in the name of technical support. Cases in which staff members feel this is necessary should be escalated to the WBRS technical staff.

For instructions on working with help requests please see **How to Use the Help Desk**

This section is under construction

As a parent organization with operating sites or programs who also use WBRS, there are two ways you'll need to use WBRS. The first is to log your own help requests. The second, if you have subgrantees using WBRS, is responding to your subgrantees' help requests and managing your help database.

Logging your own help request

1. Under the *Basics* tab on the WBRS menu, click *Help Desk.*

1. Click on the *Initiate New Request* link and complete the form. When you fill out a help request form, it is critical to include **as much detail as possible** in your request. In particular, **please** fill in the problem analysis section. If you are working with a member form, we need to know the name of the member, which form you are working with, what you are trying to do, and what result you get. If you get an error message, please paste the text of the error message into the space provided. The more detail you provide, the quicker we can respond to the problem without a lot of back and forth communication while we try to grasp your question. The form automatically pulls in your contact information and prompts you for the information we will need to answer the question or solve the problem as quickly as possible.

2. When you save the form, click on *Submit to Development Team.*

3. Your request is logged in the WBRS Help Desk Database, which the technical support staff uses to track help requests. We will respond to your request within one business day (usually within an hour or two).

4. We will close your request out when we believe we have completed the issue, and you will receive an email that the request has been closed. At that point, if your question has not been answered to your satisfaction, simply reply to the email and the issue will automatically be re-opened.

Responding to Your Grantees' Help Requests and Managing Your Help Database

Your grantees can log help requests as described in the previous section. The e-mails users generate using the Help Desk will be sent to the WBRS contacts at the State Commission, National Direct Parent Organization or Ed Award program. The WBRS contacts may then, if needed, easily escalate the requests to WBRS technical staff. As we respond to questions, the WBRS contact is kept informed of the steps taken to solve the problem with automated e-mails. The user who initiated the request will also be kept updated on the status of their request.

Views in the Help Desk allow WBRS contacts and program/site users to keep track of what requests have been made, and how and when they were solved. Programs or Operating Sites can also call their State Commission or Parent Organization contact person to request assistance.

Viewing Requests:

1. Click on Help Desk under the Basics Tab on the WBRS Main Menu.
2. Click on *View Current Requests*.

3. The requests listed are links to the request forms that have been submitted in your state or program. Click on the links to read the detailed requests.

Responding to Requests:

1. Follow the instructions above for Viewing Requests.
2. From the request form, click on *Respond to User*. A response form will open.
3. Enter details and click on *submit*.
4. Your response will be sent to the User who submitted the request.

Closing out Requests:

1. Follow the instructions above for Viewing Requests.
2. From the request form, click on *Close-Out*.
3. Enter the details of how the problem was solved and click on *submit*.
4. The Request will be considered closed.

Escalating to Development Team:

1. Follow the instructions above for Viewing Requests.
2. From the request form, click on *Escalate to Development Team*.
3. Enter details and click on *submit*.
4. The WBRS Technical Staff will be notified of request.

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Before you Use WBRS Section 1.doc

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AmeriCorps programs should keep files on every member with the appropriate documentation. We have included a draft tool that can be used as a self-assessment of your member files. Please note that not all AmeriCorps Program sponsors are required to provide health care, child-care or performance evaluations but these areas are included on the checklist in case you would like to offer these benefits.

Please refer to the grant provisions for further clarification of program record keeping.

SAMPLE

AmeriCorps Programs

A. Member File Checklist

	Yes	No	N/A	Comments/Documentation
Member application (https://recruit.cns.gov/applyform.asp)				
Member enrollment form: WBRS (Submitted within 30 days?)				
Parental consent (if member is under18)				
Member contract Including position description				
Criminal background check *				
Grievance procedure				
Time and activity logs ➢ Signed by member and supervisor ➢ Up-to-date, activities & hours				
Performance evaluations (optional) ➢ Mid-term and End of term				
Member Eligibility Verification Form **				
High school diploma/GED				
Health Care Enrollment (optional)				
Documentation of child care eligibility (optional)				
End of Term/Exit Form: WBRS (Submitted within 15 days?)				
Term of Service Change Form: WBRS (if applicable)				
Loan Forbearance Form (if applicable)				
Interest Accrual Form (if applicable)				
Documentation of Compelling Personal Circumstances (if applicable)				
Publicity release form				
Emergency notification form				

* For more information about criminal record checks, please go to www.nonprofitrisk.org. From the home page, go to Publications, then Community Service Briefs.

** Regarding proof of member citizenship or lawful permanent resident status, programs must ascertain and document the citizenship status of the members, a record of which must be kept in the member's file. Please see Member Eligibility Verification Form for options.

AmeriCorps

B. Parental Consent Form

FOR PARENT OF GUARDIAN OF MEMBERS UNDER 18 YEARS OF AGE:

I, the undersigned parent/guardian of _____ understand the responsibilities and benefits associated with AmeriCorps. I authorize my son/daughter/legal ward to participate in AmeriCorps including educational, training and service related activities provided by the AmeriCorps program.

I authorize the exchange of information between the AmeriCorps sponsor, the _____***(Your program name)*** and the Corporation for National and Community Service that is relevant to successful participation in the AmeriCorps program.

I grant permission for the AmeriCorps sponsor to provide or arrange the necessary medical assistance for my son/daughter/legal ward if I cannot be reached immediately in the event of an accident or illness. I have listed any illnesses, allergies, medical conditions or disabilities that might affect participation in the AmeriCorps program or require medical attention.

_____

Signature of Parent or Guardian Date

Please Print:

Name: _____

Address: _____

_____

City State Zip Code

Daytime Telephone Number: _____

Evening Telephone Number: _____

C. MEMBER CONTRACT

Sample Member Contract for Participation in an AmeriCorps Program
YOU MUST CUSTOMIZE THIS FOR YOUR PROGRAM, INCLUDING DATES, SERVICE REQUIREMENTS, POSITION DESCRIPTIONS, AND DISCIPLINE CODES. ALSO CHECK YOUR STATE LAWS

I. PURPOSE

It is the purpose of this agreement to delineate the terms, conditions, and rules of membership regarding the participation of _____ (hereinafter referred to as the "member") in the _____ AmeriCorps Program (hereinafter referred to as the "Program").

II. MINIMUM QUALIFICATIONS

The member certifies that he/she is a United States citizen, a United States national, or a lawful permanent resident alien and at least 17 years of age (or at least 16 years of age if the member is an out-of-school youth and a participant in one of two types of youth corps defined under the National and Community Service Act of 1990, as amended).

III. TERMS OF SERVICE

A. The member's term of service begins on _____ and ends on _____. The program and the member may agree, in writing, to extend this term of service for the following reasons:

1. The member's service has been suspended due to compelling personal circumstances.
2. The member's service has been terminated, but a grievance procedure has resulted in reinstatement.

B. The member will complete a minimum of 1700* hours (900 hours for part-time) of service during this period. /***Or the exact number of hours your program requires –must be at least 1700 for full-time/**

C. The member understands that to complete the term of service successfully (as defined by the program and consistent with regulations of the Corporation for National and Community Service) and to be eligible for the education award, he/she must complete at least 1700 (900) hours of service and satisfactorily complete pre-service training and the appropriate education/training that relates to the member's ability to perform service **/ You should customize this section to note any specific training requirements or other service requirements of your**

program. E.g., CPR, first aid, mediation and conflict resolution skills, and service-learning activities/.

D. The member understands that to be eligible to serve a second term of service, the member must receive satisfactory performance reviews for any previous term of service. The member's eligibility for a second term of service with this program will be based on at least a mid-term and end-of-term evaluation of the member's performance focusing on factors such as whether the member has:

1. Completed the required number of hours;
2. Satisfactorily completed assignments, tasks, or projects; and
3. Met any other criteria that were clearly communicated both orally and in writing at the beginning of the term of service.

E. The member understands, however, that the mere eligibility for an additional term of service does not guarantee selection or placement.

IV. POSITION DESCRIPTION

(In this section, the program should include the position description for the individual member to whom the contract applies. The position description should specify the types of duties, service activities, and assignments the member will be expected to complete.)

The name of the member's direct supervisor is: _____

V. BENEFITS

A. The member will receive from the program the following benefits:

1. A living allowance in the amount of $_____.

   a. The living allowance is taxable, and taxes will be deducted directly from the living allowance.
   b. The living allowance will be distributed **/weekly/biweekly/** by **/direct deposit/ /check/** starting on _____(date) _____. The biweekly amount will be _____.

2. [**Health benefits** (**if the member is eligible**). The health insurance policy is attached.]

3. If applicable, a child care allowance of _____ will be provided by the National Association of Child Care Resource and Referral Agencies (NACCRRA) directly to the provider, if the member qualifies for the allowance. (NACCRRA will distribute this allowance evenly over the term of service on a bi-weekly basis).

B. Upon successful completion of the member's term of service, the member will receive an education award from the National Service Trust. For successful completion of a full-time term, the member will receive an education award in the amount of $4,725. For successful completion of a part-time term, the member will receive an education award of (**up to $2,362.50**).

1. If the member has not yet received a high school diploma or its equivalent (including an alternative diploma or certificate for individuals with learning disabilities), the member agrees to obtain a high school diploma or its equivalent before using the education award. This requirement can be waived if the member is enrolled in an institution of higher education on an ability-to-benefit basis or the program has waived this requirement due to the results of the member's education assessment.

2. The member understands that his or her failure to disclose to the program any history of having been released for cause from another AmeriCorps program will render him or her ineligible to receive the education award.

C. If the member has received forbearance on a qualified student loan during the term of service, the National Service Trust will repay a portion or all of the interest that accrued on the loan during the term of service.

VI. RULES OF CONDUCT

A. At no time may the member:

1. Engage in any activity that is illegal under local, state or federal law.
2. Engage in activities that pose a significant safety risk to others.
3. Engage in any AmeriCorps-prohibited activities that include:

   - Any activity involving attempting to influence legislation or an election or aid a partisan political organization;
   - Helping or hindering union activity;
   - Engaging in religious instruction;
   - Conducting worship services;
   - Providing instruction as part of a Program that includes mandatory religious instruction or worship;
   - Constructing or operating facilities devoted to religious instruction or worship;

- Maintaining facilities primarily or inherently devoted to religious instruction or worship;
- Engaging in any form of religious proselytization
- Organizing or engaging in protests, petitions, boycotts, or strikes;
- Impairing existing contracts for services or collective bargaining agreements;
- Participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political candidates, political platforms, proposed legislation, or elected officials;
- Or providing a direct benefit to a for-profit entity, a labor union, a partisan political organization, a religious organization, or a non-profit that engages in lobbying.

B. The member is expected to, at all times while acting in an official capacity as an Americorps member:

(*NOTE: the following are given as examples only. You should customize this section to include all relevant requirements for your program.)*

1. Demonstrate mutual respect towards others.
2. Follow directions.
3. Direct concerns, problems, and suggestions to (designate the appropriate program official here).

C. The member understand that the following acts also constitute a violation of the program's rules of conduct:

(NOTE: The following given as examples only. You should customzie this section to include all relevant requirements for your program.)

1. Unauthorized tardiness.
2. Unauthorized absences.
3. Repeated use of inappropriate language (i.e. profanity) at a service site.
4. Failure to wear appropriate clothing to service assignments.
5. Stealing or lying.
6. **Engaging in any activity that may physically or emotionally damage other members of the program or people in the community.
7. **Unlawful manufacture, distribution, dispensation, possession or use of any controlled substance or illegal drugs during the term of service.
8. **Consuming alcoholic beverages during the performance of service activities.

9. **Being under the influence of alcohol or any illegal drugs during the performance of service activities.
10. **Failing to notify the program of any criminal arrest or conviction that occurs during the term of service.

(*****Your program may want to have these violations result in immediate termination or something more severe than having them remedied through the progressive discipline system described below. If so, you will need to move them out of this section and add them to the subsection VII (B) (4) below.)***

D. Under the Drug-Free Workplace Act, you must immediately notify the Program Director if you are convicted under any criminal drug statute. Your participation in the Program is conditioned upon compliance with this notice requirement and we will take action for this violation.

E. In general, for violating the above stated rules in section VI(C), the program will carry out the following progression (except in cases where during the term of service the member has been charged with or convicted of a violent felony, possession, sale or distribution of a controlled substance):

1. For the member's first offense, an appropriate program official will issue a verbal warning to the member.
2. For the member's second offense, an appropriate program official will issue a written warning and reprimand the member.
3. For the member's third offense, the member may be suspended for one day or more without compensation and will not receive credit for any service hours missed.
4. For the fourth offense, the program may release the member for cause.

F. The member understands that he/she will be either suspended or released for cause in accordance with paragraphs (B), (D), and (E) of section VII of this agreement for committing certain acts during the term of service including but not limited to being convicted or charged with a violent felony, possession, sale, or distribution of a controlled substance.

VII. RELEASE FROM TERMS OF SERVICE

A. The member understands that he/she may be released for the following two reasons:

1. For cause, as explained in paragraph (B) of this section; or
2. For compelling personal circumstances as defined in paragraph (C) of this section.

B. The program will release the member for cause for the following reasons:

1. The member has dropped out of the program without obtaining a release for compelling personal circumstances from the appropriate program official;
2. During the term of service the member has been convicted of a violent felony or the sale or distribution of a controlled substance;
3. The member has committed a fourth offense in accordance with paragraph (E) of section VI of this agreement.
4. The member has committed any of the offenses listed in **(*Your program may want to add the **violations in section VI(C) 6-10 here or any others you deem appropriate);*** or
5. Any other serious breach that in the judgment of the director of the program would undermine the effectiveness of the program.

C. The Program may release the member from the term of service for compelling personal circumstances if the member demonstrates that:

1. The member has a disability or serious illness that makes completing the term impossible;
2. There is a serious injury, illness, or death of a family member which makes completing the term unreasonably difficult or impossible for the member;
3. The member has Military service obligations;
4. The member has accepted an opportunity to make the transition from welfare to work; or
5. Some other unforeseeable circumstance beyond the member's control makes it impossible or unreasonably difficult for the member to complete the term of service, such as a natural disaster, a strike, relocation of a spouse, or the nonrenewal or premature closing of a project or the program.

D. Compelling personal circumstances <u>do not include</u> leaving the program:

1. To enroll in school;
2. To obtain employment, other than in moving from welfare to work; or
3. Because of dissatisfaction with the program.

E. The Program may suspend a member's term of service for the following reasons:

1. During the term of service the member has been charged with a violent felony or the sale of distribution of a controlled substance. (If the member is found not guilty or the charge is dismissed, the member may resume his/her term of service. The member, however, will not receive back living allowance or credit for any service hours missed.)

2. During the term of service the member has been convicted of a first offense of possession of a controlled substance. (If, however, the member demonstrates that he/she has enrolled in an approved drug rehabilitation program, the member may resume his/her term of service. The member will not receive back living allowances or credit for any service hours missed.)

F. The Program may suspend the member's term of service for violating the rule of conduct provisions in accordance with the rules set forth in paragraph (C) of section VI of this agreement.

G. If the member discontinues his/her term of service for any reason other than a release for compelling personal circumstances as described in paragraph (B), (D), and (E), the member will cease to receive the benefits described in paragraph (A) of section V and will receive no portion of the education award or interest payments.

H. If the member discontinues his/her term of service due to compelling personal circumstances as described in paragraph (C) of section VII of this agreement, the member will cease to receive benefits described in paragraphs (B) and (C) of section V.

VIII. GRIEVANCE PROCEDURES

A. The member understands that the Program has a grievance procedure to resolve disputes concerning the member's suspension, dismissal, service evaluation or proposed service assignment.

B. The member understands that, as a participant in the program, he/she may file a grievance in accordance with the Program's grievance procedure. ***(Incorporate your grievance procedure into the body of this section).***

IX. AMENDMENTS TO THIS AGREEMENT

This agreement may be changed or revised only by written consent by both parties.

X. AUTHORIZATION

The member and Program hereby acknowledge by their signatures that they have read, understand, and agree to all terms and conditions of this agreement. (If the member is under the age of 18 years old, the member's parent or legal guardian must also sign.)

AmeriCorps Member	AmeriCorps Program Director
_____	_____
Signature	Signature
_____	_____
Name	Name
_____	
Parent/Legal Guardian	
_____	_____
Date	Date

D. Criminal Background Check

This section explains the provision contained in Corporation for National and Community Service Grant Awards related to Criminal Record Checks and the expectations related to this provision. It reflects the Corporation's guidance on this matter, and is being provided to AmeriCorps Program Directors and State Commissions. This section covers:

- Specific language from Grant Provisions
- The Corporation's purpose Statement
- Discussion of the Corporation's expectations for direct grantees and State Commissions
- General guidance

I. Provision

AmeriCorps Program Grant Provisions all contain the following language:

> ***"Criminal Record Checks.*** *AmeriCorps Programs with Members or employees who have substantial direct contact with children (as defined by state law) or who perform service in the homes of children with individuals considered vulnerable by the program, shall, to the extent permitted by state and local law, conduct criminal record checks on these Members or employees as part of the screening process. This documentation must be maintained within member of employee files, or otherwise consistent with state law."*

II. CNS Statement of Purpose

Acknowledging that the vast majority of AmeriCorps Members would not intentionally harm recipients of service, the Corporation for National and Community Service is nevertheless very concerned about the potential for improper or criminal conduct victimizing program clients. Such victimization does damage to the individual victim, the program, and the entire AmeriCorps national service network.

Programs are responsible to establish and use thorough screening processes to determine the suitability of candidates for selection to provide the program's services. In certain programs, because of the vulnerability of the client population, it is prudent to conduct a criminal record check for each applicant.

The suitability determination that should be made includes information from a criminal record check, as well as the other information that becomes available through the application and screening process. Many programs are already using criminal record checks as part of their screening, and liability insurance carriers increasingly require this step.

The Corporation recognizes that decisions concerning the screening mechanisms to be used, including criminal history checks, are best made by programs, taking into account the nature of the service activity and the potential vulnerability of service recipients. The same is generally true of decisions about the criteria, including criminal records that would warrant rejection of a candidate.

While no practical system of applicant screening, including record checks, can be guaranteed to avoid every possible problem, the Corporation's purpose is to protect recipients of service, protect AmeriCorps programs from unnecessary liability exposure, and to protect the public image of the AmeriCorps national service network.

III. Corporation Expectations

The Corporation expects that criminal record checks will be regarded as one part of the applicant screening process that may have many other steps – all related to making appropriate determinations about the suitability of applicants. In addition, conducting criminal record checks does not free program sponsors from the responsibility of careful program management and effective supervision of Members and program staff. In carrying out the criminal record check grant provision, State Commissions and Direct grantees should ensure that programs take the following steps:

1. Consider whether the program involves substantial direct contact with children or performs service in the homes of children or other vulnerable individuals. The term "children", is defined by state law. "Substantial direct contact" is intended to convey contact with children that are regular, continuous and personal in nature. Programs should determine, based on specific circumstances, whether individuals are "vulnerable" or not. Examples of vulnerable individuals may include (but are not limited to) infirm elderly persons, or individuals with a physical or mental disability.

2. If so, determine (i) the appropriate form of criminal record check that should be made, based primarily on the responsibilities of the position, (ii) the process by which that check may be carried out; and, (iii) any limitations imposed by state or local law.

3. Conduct that check on AmeriCorps Members and staff whose duties involve substantial direct contact with children or who perform service in the homes of children or other vulnerable individuals. Programs required to conduct criminal history checks should do so for all new and continuing Members, as well as for staff.

4. Determine, in advance, the types of criminal backgrounds that should result in termination of candidacy or service.

5. Ensure that consistent actions are taken on the information that is retrieved.

6. Ensure that privacy considerations are carefully observed and that the confidentiality of criminal history information possessed by the program is appropriately safeguarded.

While the above should be considered the Corporation's minimum expectations, the circumstances of a local program and applicable state law or regulations may dictate that additional steps be taken.

Concerning the cost of record checks for Members, programs should explore whether they can be conducted free or at reduced cost (as a number of programs are already doing), or if any community partners can support this activity. If Corporation funds are necessary, programs should attempt to rebudget within existing funds. Commissions may use carry-over formula funds for this purpose.

IV. Guidance

Below are suggestions and approaches that may be useful as State Commissions and National Direct grantees develop procedures to ensure that programs and program operating sites fulfill this responsibility.

- Programs should review these requirements with their legal counsel and their liability insurance carrier.
- Each applicant should be asked, as part of the application process, about his or her criminal history. Failure to be truthfully complete on an application should automatically result in termination of candidacy, a fact which should be noted in the application itself.
- Notice of the program's intent to conduct criminal record checks should be prominently announced – both to discourage individuals with potentially unacceptable backgrounds from even applying, as well as to evidence the program's concern for the safety of its clientele.
- If the program announces that it will conduct criminal records checks, it should do so. Failure to conduct a check after announcing that it will do so creates a situation of potentially serious liability.
- Direct Programs and State Commissions (for subgrantees) have the authority to decide about the specific check to be made – i.e., whether a local, state-wide, or national check is appropriate – based on the circumstances of the program, relevant law and regulations concerning access to criminal records, and the populations being served.
- Suitability for enrollment (or hiring) is a determination to be made by program authorities, but the standard that programs should adhere to is one of "reasonable precautions". This means that programs should take reasonable precautions to discover the existence of background

information that, if not discovered, could possibly result in an injury to a third party. A program's failure to satisfy this standard could result in the program being held liable for its negligent acts or omissions.

- Returning Members (or continuing staff) need not be "rechecked" each year after the initial check, but the Member Contract (or employment agreement) should include a provision that the program leadership will be notified if the Member is arrested for any of certain specified offenses.
- While criminal records checks normally involve State agencies, programs should contact their local police or Sheriff's departments for assistance in identifying potential vulnerable populations, as well as with determining the appropriate form of background check, based on local circumstances, and carrying out that check. Generally, law enforcement agencies prefer to help at the outset – to help avoid problems later. If a state does not allow access to state-wide criminal records, programs should conduct local checks to the maximum extent allowed.
- Arrest information that is not accompanied by disposition information may not provide sufficient basis for rejection of applications.
- Programs should adhere to written policies related to safeguarding confidential information (criminal records) received and used by the program.

V. Further Information

For further information or assistance with implementing these requirements, programs should first contact their respective Commission or Direct Program sponsor. Commission and Direct programs should contact their Program Officer at the Corporation for National and Community Service.

In addition, the Non-Profit Risk Management Center is an excellent resource. On their website, www.nonprofit.org, is an extensive paper on background checks prepared specifically for AmeriCorps programs and sites – From their Home page, go to Publications, then Community Service Briefs. Their phone number is (202) 785-3891.

Information Updated 12/00.

E. MODEL GRIEVANCE PROCEDURE

For AmeriCorps State/National Programs

This model is provided to programs as a guide only, and combines provisions that is required by law with optional elements.

In the event that informal efforts to resolve disputes are unsuccessful, AmeriCorps members, labor unions, and other interested individuals may seek resolution through the following grievance procedures. These procedures are intended to apply to service related issues, such as assignments, evaluations, suspension, or release for cause. In addition, individuals who are not selected as AmeriCorps members or labor unions alleging displacement of employees or duplication of activities by AmeriCorps may utilize these procedures.

A. Optional Alternative Dispute Resolution (ADR)

The program may choose to include ADR as a first option for an aggrieved party. ADR includes mediation or conciliation. This section assumes that the program has chosen to make ADR available.

ADR is available, but must be selected within 45 days of the underlying dispute. If a member chooses ADR as a first option, a neutral party designated by the program will attempt to facilitate a mutually agreeable resolution. The neutral party must not have participated in any previous decisions concerning the issue in the dispute. ADR is confidential, non-binding, and informal. No communications or proceedings of ADR may be referred to at the grievance hearing or arbitration stages. The neutral party may not participate in subsequent proceedings.

If ADR is chosen by the member, the deadlines for convening a hearing and of a hearing decision, 30 and 60 days respectively, are held in abeyance until the conclusion of ADR. At the initial session of ADR, the neutral party must provide written notice to the aggrieved party of his or her right to request a hearing. If ADR does not resolve the matter within 30 calendar days, the neutral party must again notify the aggrieved party of his or her right to request a hearing. At any time, the aggrieved party may decline ADR and proceed directly to the hearing process.

B. Grievance Hearing

A member may request a grievance hearing without participating in ADR, or, if ADR is selected, it fails to facilitate a mutually agreeable resolution. The member

should make a written request for a hearing to the designated program supervisor or director. A request for a hearing must be made within one year after the date of the alleged occurrence. At the time a request for a hearing is made, the program should make available to the member information that it relied upon in its disciplinary decision.

The program will arrange for one or more pre-hearing conferences at a time mutually convenient to the parties. Pre-hearing conferences are not a substitute for a hearing. They are intended to facilitate a mutually agreeable resolution of the matter to make a hearing unnecessary or to narrow the issues to be decided at the hearing. The format of the pre-hearing conference may be flexible, involving meetings with one party at a time and/or with both parties together. Pre-hearing conferences are conducted by [program supervisor/director A].

The hearing will be conducted by [program supervisor/director B]. The person conducting the hearing may not have participated in any previous decisions concerning the issue in dispute. (Note: To ensure impartiality in the hearing, programs may choose to designate someone other than the program director to approve disciplinary actions regarding members, leaving the director available to conduct grievance hearings.) A hearing must be held no later than 30 calendar days after the filing of the grievance, and a written decision must be made no later than 60 calendar days after filing.

C. Binding Arbitration

An aggrieved party may request binding arbitration if a grievance hearing decision is adverse or if no decision is made within 60 days of the filing of the grievance. The arbitrator must be independent and selected by agreement of the parties. If the parties cannot agree on an arbitrator, the Corporation's Chief Executive Officer will appoint one within 15 calendar days after receiving a request from one of the parties.

An arbitration proceeding will be held no later than 45 calendar days after the request for arbitration, or no later than 30 calendar days after the appointment of an arbitrator by the Corporation's CEO. An arbitration decision will be made no later than 30 calendar days after the commencement of the arbitration proceeding.

The cost of arbitration will be divided evenly between the parties, unless the aggrieved party prevails, in which case the program will pay the total cost of the proceeding as well as the prevailing party's attorneys' fees.

F. MEMBER ACTIVITY WEEKLY TRACKING TOOL

Name of Organization Here/ AmeriCorps Program

Please make blank copies of this sheet so that you can track your weekly activities in the future.

For the week beginning_____and ending_____

Program:_____

Site:_____

Member Name_____

Site Supervisor Name_____

TYPE OF	Mo	Tue	Wedne	Thurs	Friday	Satu	Sun	Totals
Direct Service								
Education or								
TOTALS								Total Number of Americorps Credited

(Weekly tracking tools must be filed and kept to be used in filling out member quarterly reports.)

Member Signature _____Date_____

Site Supervisor Signature _____Date _____

(over please)

Service Tracking

Type of Service (Please write what kind of service it was. Be specific.)	**Category** Education = 1 Public Safety =2 Human Need = 3 Environment = 4	**Number Served** (Please specify how many adults	**RESULTS:** (e.g. test scores increased, homework turned in, students have more positive attitude, house repaired, people feel safe, people ate, were clothed, __# bags of trash collected, __# of volunteers were recruited…)
Recruitment: (of volunteers, clients…)			
Outreach:			
Training or Education of other volunteers or clients:			
Other Direct Service: (e.g. tutoring, cleaning, house repair,			
Other Direct Service:			
Other Direct Service:			
Other Direct Service:			

Please use this space to record any member service stories, or site supervisor feedback that either of you feel is important, or as more space to record the type of service that is being done.

AmeriCorps

G. Member Performance Evaluation

AmeriCorps Member: _____Site:_____

Supervisor: _____ Date: _____
☐ Mid Term ☐ End Term

*AmeriCorps member development is an important goal of the ____ **(name of your program)** ___. Without honest feedback, members are unable to make improvements to enhance their performance and their experience. Performance evaluations are intended to be a mutual exchange of information, enabling members to progress toward their optimal performance potential. Therefore, providing candid responses is very important.*

The following competencies have been identified as areas in which members can continually strive to better themselves. Using the scales provided below, please evaluate the member based on her/his day-to-day performance and your observations as the Site Supervisor. Place and "X" in the rating area that best describes the member's performance.

Please rate your AmeriCorps member in the areas listed below: (Put and X in the appropriate box)	C. Excellent	D. Good	E. Fair	F. Poor
1. Demonstrates knowledge and preparation to provide service effectively				
2. Fills out and submits all relevant paperwork in a timely manner				
3. Sets realistic goals and follows through with commitments				
4. Honors time commitments and demonstrates time/priority management skills				
5. Utilizes feedback and constructive criticism				
6. Represents the program professionally				
7. Shows initiative and self motivation				
8. Demonstrates decision-making and organizational skills				
9. Maintains a constructive and mature attitude throughout challenges				
10. Demonstrates resourcefulness in generating solutions to problems				
11. Accepts personal responsibility for learning and contributing				
12. Interacts appropriately with on-site personnel, clientele, or public				
13. Creative and/or resourceful in problem solving				
14. Demonstrates concern for the quality, accuracy, and completeness of tasks performed				

Site Supervisor's narrative evaluation:

AmeriCorps Member's self evaluation:

_____ I agree with this evaluation **_____ I do not agree with this evaluation**

Comments:

Member's Signature_____Date_____

Supervisor's Signature_____Date_____

AmeriCorps

H. Member Eligibility Verification Form

Regarding proof of member citizenship or lawful permanent resident status, programs must ascertain and document the citizenship status of the members, a record of which must be kept in the member's file. A program may be at risk if it has accepted self-certification as the only document for member eligibility. Because the Office of Inspector General, in performing audits of programs, has questioned the reliability of self-certification as the only document for member eligibility, listed below are examples of types of documents programs should request in addition to self-certification. There may be other evidence that is deemed reasonably reliable under the circumstances that also may be used.

Proof of Eligibility	
	Birth Certificate
	Valid U.S. Passport issued to the individual as a U.S. citizen
	INS certificate of citizenship (INS Form N-560 or N-561)
	INS certificate of naturalization (INS Form N-550 or N-570)
	U.S. Dept. of State Form FS-240, Report of Birth Abroad of a Citizen of the United States
	Alien Registration Receipt Card (INS Form I-551)
	Other (please specify):

Be sure to enclose a copy of the above checked "proof of eligibility" ***in the Member File!***

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE
FORBEARANCE REQUEST FOR NATIONAL SERVICE FORM

Under the National and Community Service Trust Act of 1993, borrowers serving in approved national service positions in AmeriCorps qualify for mandatory forbearance during service (which, for FFELP loans, may be granted in increments of up to 12 months at a time). This forbearance allows borrowers to delay payments temporarily. Members may reapply if they continue service. THIS FORM IS TO BE USED TO REQUEST THIS TYPE OF FORBEARANCE. Forbearance is granted by the lender.

Mandatory forbearance for approved national service positions is available for the following educational loans: Federal Family Education Loans (Subsidized and Unsubsidized Stafford Loans, Supplemental Loans to Students (SLS), Consolidation Loans), William D. Ford Federal Direct Loans (Direct Subsidized and Unsubsidized Stafford/Ford Loans, and Direct Consolidation Loans), Federally Insured Student Loans (FISL), Health Education Assistance Loans (HEAL), Health Professions Student Loans (HPSL), Loans for Disadvantaged Students (LDS), Nursing Student Loans (NSL), and Primary Care Loans (PCL). Other deferments/forbearance may be available for Federal Perkins Loans and loans **made directly to the member** by a state agency.

During the service period interest continues to accrue. Upon successful completion of the term of service the National Service Trust will pay all or a portion of the interest that has accrued. If a member leaves service early for other than compelling personal circumstances he or she will be responsible for payment of interest. If the interest is not paid it may be capitalized. Capitalization is a process whereby unpaid interest is added to the principal amount of the loan. This increases the outstanding principal balance, and therefore increases interest charges over the life of the loan. If a member is past due on payments not covered by the forbearance period, the loan holder may grant an administrative forbearance to resolve the delinquency at the time this request is processed and may capitalize all unpaid interest.

INSTRUCTIONS

FOR THE AMERICORPS MEMBER: Complete one of these forms for each of your service periods. After completing the *Member* section, you should give the form to your program director or site supervisor who will forward all requests to the National Service Trust in Washington.
FOR THE PROGRAM DIRECTOR OR SITE SUPERVISOR: Mail forms to **The National Service Trust/CNCS; 1201 New York Ave., NW; Washington, DC 20525.** The Trust will verify the member's participation and will forward this form to the loan holder or loan servicer listed below.

MEMBER SECTION (Must be completed in full and signed in ink by the AmeriCorps member - please print)

Name of AmeriCorps Member:

Last MI First

SSN:

Current Address: _____

City/State/Zip: _____ Phone: _____

Signature of AmeriCorps Member: _____ Date: _____
I am requesting forbearance on my loan(s) and am serving in AmeriCorps.

Period of National Service from Mo Day Year (Beginning Date) through Mo Day Year (Estimated Completion Date) **dates are mandatory**

Please use one form for each loan holder you want to receive a forbearance request. Provide the name and address of the loan holder.

Name of Lending Institution/Loan Holder _____

Address: _____

_____

City/State/Zip _____

Phone _____

FOR COMPLETION BY THE NATIONAL SERVICE TRUST

I certify that this borrower is serving in a qualified national service position for the period indicated above:

Signature of authorized corporation official _____ date _____
National Service Trust/CNCS; 1201 New York Avenue, NW, Washington, D.C. 20525 Telephone No. (202) 606-5000 x347 or (888) 507-5962

Privacy Act Statement: In compliance with the Privacy Act of 1974, the following information is provided. The collection of this information is authorized by the provisions of the National and Community Service Act, as amended by the National and Community Service Trust Act of 1993. The primary purpose of the information is to enable an AmeriCorps member to receive forbearance on qualified student loans during a period of service. Information is for official use only, and will be provided only to identified lending institutions in order that forbearance may be granted. Your Social Security Account Number (SSN) is solicited under the authority of the Internal Revenue Code (26 U.S.C. 6011(b) and 6109), for use as a taxpayer identification number. Disclosure is MANDATORY because the Internal Revenue Service has determined that the education award is taxable income in the year it is paid and because the holder of a student loan maintains the information by the borrower's SSN. Furnishing all other information on this form is voluntary, but failure to do so may result in a denial of a payment being made from your account or it may delay a payment from your account or delay the granting of a forbearance request.
Public reporting burden for this collection of information is estimated to average 10 minutes per response, including reviewing instructions, gathering and providing the information needed to complete the form. Send comments regarding this burden or content of this instrument to: Corporation for National and Community Service, National Service Trust, 1201 New York Ave., NW, Washington, DC 20525. The Corporation informs the potential person(s) who are to respond to this collection of information that such persons are not required to respond to the collection of information unless it displays a currently valid OMB control number on this page of the form. (See 5 C.F.R. 1320.5(b)(2)(I)).

OMB Number 3045-0030, Expires 5/31/2005

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE
INTEREST ACCRUAL FORM

Upon the successful completion of a term of service the National Service Trust will pay, on behalf of the borrower, all or a portion of the interest that accrued on a qualified student loan* during the member's term of national service. The loan must have been in forbearance, deferment or a grace period during this period. This form is to request that the loan holder provide the interest amount and send the form to the Trust for payment. Payment will be made only to the loan holder. This payment, like payments from a member's education award, is considered taxable income in the year the payment is made.

INSTRUCTIONS

FOR THE AMERICORPS MEMBER: Fill out the information in the *Member Section*. No more than **30** days prior to completion of service, send a completed and signed form to each loan holder. Your national service period runs from the date that you began your service (including any training period) to the date you completed your service. Contact your project if you do not know these dates. Incorrect service dates may delay payment of accrued interest.

FOR THE LOAN HOLDER: Complete the *Loan Holder Section* and return the form to: **National Service Trust/CNCS, 1201 New York Ave NW, Washington DC 20525**

MEMBER SECTION (Must be completed in full and signed by the AmeriCorps member upon completion of service - please print)

Member's name:	Social Security Number: ☐☐☐☐☐☐☐☐☐
Street:	Telephone No:
City, State & zip:	

Period of National Service (dates): Beginning ☐☐ ☐☐ ☐☐☐☐ (Mo Day Year) through ☐☐ ☐☐ ☐☐☐☐ (Mo Day Year) **payment cannot be made without dates**

I certify that the information above is true and correct. I authorize the release of any loan information to the National Service Trust.

Borrower's signature: _____ Date: _____

LOAN HOLDER'S SECTION - Complete either A. or B. to indicate amount of interest

loan type(s): _____ payoff amt: _____

A. Amount of interest accrued on member's qualified loan(s) ***during service period*** **(cite loan #s, if more than one):**
$_____

DO NOT ***include interest which has been or will be paid by the US Dept of Education.*** **DO** ***include all other paid and unpaid interest.***

OR
<>

loan type(s): _____ payoff amt: _____

B. Daily interest accrual rate $ _____

Indicate any period of time within the service period during which interest has been or will be paid by the US Dept of Education (such as a Grace Period) _____

Name & Address of Loan Holder/Servicer
(Where Payment Should be Sent):
Address must be complete and legible

I certify that the amount designated is for eligible interest that accrued on the qualified student loan(s)* during the service period indicated, and that any loan cited was in forbearance, deferment, or a grace period during the service period.

_____ _____
Signature of Representative of Loan Holder/Servicer **Printed Name of Representative**

Representative's phone number: _____ Date: _____

Fax number: _____ Federal Taxpayer ID Number (9 digits): _____

A QUALIFIED STUDENT LOAN is 1) any loan made, insured, or guaranteed pursuant to Title IV of the Higher Education Act of 1965, as amended, other than a loan to a parent of a student pursuant to § 428B of such Act; 2) any loan made pursuant to Titles VII or VIII of the Public Health Service Act; and 3) any loan determined by an institution of higher education to be necessary to cover a student's cost of attendance at such an institution and **made directly to a student** by a state agency.

Examples of these loans include Federal Family Education Loans (Subsidized & Unsubsidized Stafford Loans, Supplemental Loans to Students (SLS), Consolidation Loans), Federally Insured Student Loans (FISL), Perkins Loans, Health Education Assistance Loans (HEAL), Health Professions Student Loans (HPSL), Loans for Disadvantaged Students (LDS), Nursing Student Loans (NSL), Primary Care Loans (PCL), and loans **made directly to members** by a state's Higher Education Authority and a state institution of higher education. (The 'maker' of every loan should be cited on the loan's Promissory Note.)

Privacy Act Statement: In compliance with the privacy Act of 1974, the following information is provided: The collection of this information is authorized by the provisions of the National and Community Service Act, as amended by the National and Community Service Trust Act of 1993. The primary purpose of the information is to enable an AmeriCorps member to have a payment made for all or a portion of the interest that accrued while the member was serving in an AmeriCorps project. The form asks the member's loan holder to inform the Trust of the amount of interest that accrued in order for a payment to be made. Information is for official use only. Your Social Security Number (SSN) is solicited under the authority of the Internal Revenue Code (26 U.S.C. 6011(b) and 6109), for use as a taxpayer identification number; disclosure is MANDATORY because the Internal Revenue Service has determined that the education award is taxable income in the year it is paid. Furnishing all other information on this form is voluntary, but failure to do so may result in a denial of your interest being paid or it may delay the payment.
Public reporting burden for this collection of information is estimated to average 10 minutes per response, including reviewing instructions, gathering and providing the information needed to complete the form. Send comments regarding this burden or content of this instrument to: Corporation for National and Community Service, National Service Trust, 1201 New York Ave., NW, Washington, DC 20525. The Corporation informs the potential person(s) who are to respond to this collection of information that such persons are not required to respond to the collection of information unless it displays a currently valid OMB control number on this page of the form. (See 5 C.F.R. 1320.5(b)(2)(I)).

OMB Number 3045-0053, Expires 5/31/2005

AmeriCorps

K. Publicity Release Form

I, _____, give my permission for my name, photograph and/or quotes to be used for promotional and/or informational purposes by AmeriCorps and/or _____ _____ ***(name of your program)***.

Signature:_____

Print Name:_____

Address: _____

_____

Phone: _____

Date: _____

AmeriCorps

L. Emergency Contact Form

Member's Name	Birth Date
Address	Home Phone #
Emergency Contact	Home Phone #
Address	Work Phone #
Health Insurance	Policy #
Name of Physician/Medical Care Provider	Phone #
Emergency Medical Care Site	Phone #
Emergency Child Care Provider	Phone #
Medications Taken Regularly	Allergies
Child Care Provider(s) (if children)	Phone #

Signature of Member Date

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CHAPTER 9
TRIBAL ENVIRONMENT

A. Tribal Sovereignty

The essence of tribal sovereignty is the ability to govern and to protect the health, safety and welfare of tribal citizens within tribal territory. Tribes are separate and distinct peoples with unique histories that predate the United States as a political entity. Recognition of and respect for tribal sovereignty has strong roots that date to the earliest contact between the indigenous peoples of the North America and the first European settlers. Settlers and the tribal leaders dealt with each other as separate sovereigns, and that relationship is the foundation of all interactions that have taken place between the United States and Indian tribes throughout the history of the nation. This policy of respect for tribal sovereignty is found in the U.S. Constitution, Nation-to-Nation treaties, federal statutes, case law, executive order and other administrative policies.

Just as the United States deals with states as governments, it also deals with Indian tribes as governments, not as special interest groups, individuals or some other type of non-governmental entity. Many state governments also have explicitly recognized the governmental status of Indian tribes through various state recognition processes.

Tribal governments have the inherent right to develop their own form of government, to determine their own citizenship, to establish their own civil and criminal laws and be ruled by them in tribal courts, to tax, to license and regulate, and to exclude people from tribal lands. Tribal governments are responsible for a broad range of governmental activities on tribal lands, including education; law enforcement; justice systems; environmental protection; and basic infrastructure such as roads, bridges, sewers, solid waste treatment and disposal, and public buildings.

However, federal law is particularly protective of tribes' authority over internal matters and their ability to protect the health and welfare of their people. Tribal sovereignty is inherent in the status of Indian tribes, and the law assumes that tribes have sovereign authority unless a federal statute has specifically removed that authority or a federal court has determined that the tribe's exercise of authority is completely inconsistent with tribal status within the federal framework.

NOTES:

The status of Indian Nations as governments and the preservation and protection of tribal history, language, culture and traditions are often misunderstood or not considered by the non-Indian community. However the relationship can be summed up very simply. Self-government is essential for tribal constitutions to continue to protect their unique cultures and identities and in turn tribal cultures and traditions provide the foundation upon which Indian communities are governed.

B. Working with Tribal Councils

Often a program's relationship with its tribal council determines the standing it has relative to funding and other forms of tribal support. Council members, as well as other tribal programs and community members may not be aware of all the aspects of the AmeriCorps program. It is important that the Council know the purpose of the program, the mission of AmeriCorps, the program's objectives, the details of the education awards, and other issues unique to AmeriCorps. In addition, tribal councils are often influenced by what they hear about a program in the community, the issues other programs may raise, or individuals who may address the council about the program. If a council is not favorable to a program it can often negatively influence decisions made on issues like the contribution of matching funds. Take a proactive approach in developing a professional working relationship with your tribal council to ensure that they both understand and support your mission. Located on the next page is information on working with tribal councils developed by a council member, detailing protocol and procedures for building a good relationship with your tribal council. Although each tribe is different, there are some general strategies that all tribal programs can use.

Some common approaches to establishing a good relationship include:

- Inviting council members to program events such as swearing in ceremonies, graduations, and community events the program may be involved in;
- Meet with the tribal council on a regular basis. Be sure to follow proper procedure to get listed on the council's agenda to present the purpose and mission of AmeriCorps, and then continue to present regular reports on the program activities and progress on objectives.

NOTES:

- Provide regular written information to the tribal council. Explain what the tribe's matching funds are contributing to, including the services the community is receiving, member benefits such as training and "job" experience, and the amount of education awards upon completion of service.

If the Council is aware of the many benefits the AmeriCorps program is contributing to the community, it will strengthen the support for the program.

C. Resolutions

Establishing a good relationship with your tribal council is vital to garner support when it is time for the program to request matching funds each year. Most programs ask that the tribal council pass a resolution stating that the tribe will support the program, including amounts of financial support needed. It is fine for program staff to be involved in drafting the resolution; however it is not appropriate for members to be involved in this process. Check with your tribal council's administrative support personnel for the proper forms and procedures for proposing a resolution. Securing the support of the council by way of resolution can often solidify the financial and administrative support of the program. Located on page 14 is an example of a tribal resolution supporting the AmeriCorps program.

D. Working Within the Tribe and Other Programs

In order to ensure success, programs need to be able to establish solid working relationships with various organizations and tribal departments that they interact with. To accomplish this, you should familiarize yourself as quickly as possible with the various aspects of the AmeriCorps grant. Program staff should be knowledgeable about all aspects of the program budget and program objectives that have been submitted to and approved by the Corporation.

The program could prepare a fact sheet which could be disseminated to all tribal programs and other organizations the AmeriCorps program might work or interact with. The fact sheet could include:

NOTES:

- Overview of the AmeriCorps Program
- Program Objectives
- Contact Person
- Allowable Activities
- Activities that are not Allowable

An example of a fact sheet is located at the end of this chapter

If members are placed at sites, it is important to share and review key grant provisions with site supervisors or other organizations that may be working closely with members. Some of the common issues to review include:

- prohibition of political activities or fundraising,
- unapproved activities that fall outside the approved objectives,
- the inappropriateness of members performing administrative duties, and
- the procedures for documenting in-kind contributions.

E. Program Staff and Members

Program staff and AmeriCorps members need to understand the communication flow that the AmeriCorps program adheres to. If staff and members do not understand this they may attempt to communicate with tribal council, tribal programs, and/or community members inappropriately. Unfortunately, this can sometimes lead to the Council and/or the community having a poor opinion of the program. Community perception can often influence the tribal council. Remember to regularly report on your activities to local district, chapter, or area meetings as well as tribal council. Program directors should discuss with staff and members the importance of community perception. They should be aware that the community is observing the activities of the program throughout the year, and that public perception can often influence the success or failure of the program. Every attempt should be made to resolve program problems at the program level.

Program staff and AmeriCorps members also need to understand the chain of command that the AmeriCorps program adheres to for disciplinary action, as well as the grievance procedure that the program has established for members. Members

NOTES:

should understand that they are volunteers, not tribal employees, and are therefore not subject to the same standards as tribal employees. If staff and members do not understand this they may attempt to address the tribal council with issues that have not been properly addressed at the program level.

Working effectively with tribal council and tribal programs is critical. Tribal self-government serves the same purpose today as it always has: it empowers Indian Nations to remain viable as distinct groups of people. Tribal cultures enrich American life, and tribal economies provide opportunities where few would otherwise exist. Tribal governments provide a broad range of governmental services on tribal lands, including education environmental protection, health, housing, human services, law enforcement justice systems, and provide basic infrastructure such as roads, bridges, and public buildings.

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WORKING WITH TRIBAL COUNCILS

Claire Miller, Council Member
Salt River Pima-Maricopa Indian Community

It is a good idea to learn about the particular tribe you are working with.

— Make an effort to learn about the community and its characteristics.
— Learn who the elected officials are and know them by name.
— Tour the community with someone who knows the land and some of the history of the tribe.
— Know the tribal structure. How is the government set up to operate?
— Attend a council meeting to learn the method of interaction between the departments and the council.
— Introduce yourself to council members when the opportunity presents itself.

INTRODUCTION

The role of the council member is complex and encompasses many facets of leadership. In the past several years tribal councils have had to become major participants in national, regional and local politics to protect their tribal sovereignty, tribal assets and most importantly, the future of their tribes. There are ongoing attempts by certain lawmakers in the Arizona legislature and in the U.S. Congress to infringe upon the rights of tribal nations to govern themselves through various impending or proposed legislation to impose:

1. Taxes on tribal businesses
2. Increased regulatory requirements on gaming activities
3. Profit sharing with the state from gaming revenues
4. Federal cuts in funding for tribal Health, Education and Welfare.

This is only a small sampling of issues, which are only mentioned to demonstrate the varying aspects of tribal leadership, which take the time and attention of a council

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member. Sometimes these issues take full meetings aside from regular council meetings in order to discuss them thoroughly and to get a consensus on how the government stands in regard to each particular issue. Often, tribal employees are unaware of the items their councils are dealing with and may feel that their particular area of interest is being neglected.

On the whole, the council is certainly aware of the programs and department operations because it has, as a body, approved the establishment and funding for those services for the community based on need. Staff should never assume that council members are not interested or supportive of their work.

We'll discuss policy versus administrative functions of a council which will assist you in understanding the distinct roles and responsibilities of the tribal council and will help to know how to interact with tribal councils and their members.

THE ROLE OF A TRIBAL COUNCIL

Simply said, the tribal council identifies the needs of the tribe and its members, selects and approves programs to meet the identified needs, and allocates the required resources to provide needed services to tribal members. The tribal council is the policy-making body for the tribe.

There are several reasons why a council must provide leadership in policy-making:

- Because that is what the tribal constitution says to do:
- Because that is what tribal members want;
- More importantly, because in a time when tribal government has swiftly moved beyond "housekeeping" functions, wise leadership is what must be provided for the survival and good of the tribe, the membership and council members themselves. Often community members and others forget that council members are included in the constituency of the tribe. Their decisions are going to impact their own lives in the present and in the future.

Tribal members are concerned about housing and employment opportunities, community development, and sound fiscal management – and they expect the

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council to do something about these concerns. They expect the council to make policy!

WHAT IS POLICY?

Policy is the business of making decisions about the tribe. The old reporter's list of "who, what, where, why and how?" are some of the difficult questions to be asked: *WHERE* is the tribe going; *HOW* should it get there; *WHAT* are the tribe's problems, and *HOW* should the government try to solve them; *WHEN* should they be solved? The tribal council's ultimate and primary role may be described as the policy-making body in tribal government. This responsibility may be shared – for example, between the chairperson and the council. However, it is up to a tribal council to decide what its role will be and to define its responsibility. Even though a council may not always initiate policies, it must at least ratify or review those that are presented before them. Policy-making can be active or passive: "non-decision" is a policy; "doing it the way we did last year" is a policy.

So, what is policy? Essentially, policy is what a council defines it to be, using its best judgement and common sense. It is not the day-to-day operations of the departments – that is administration. While there are times that administrative issues may not be the council's business, council members have the final responsibility to answer to tribal members for the way the tribe is run, therefore have a right to expect thorough answers from staff to reasonable questions.

POLICY AND ADMINISTRATION

The fine line between "policy" and "administration" always causes debate and tension in running a tribal government. Sorting out the differences is sometimes difficult. Here, though, we will concern ourselves with the day-to-day realities of policy and administration rather than theory. Administration can be many things:

- It can overlap with policy, and only be sorted out on an issue-by-issue basis.
- It can be a more satisfying way to determine an issue because it is often easier than tackling tough policy questions. A council member's valuable and limited time may be better spent on important policy issues rather than administrative details.

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- It can be those things that tribal department heads wish council members would stay away from.

To see what a policy versus administration problem really looks like in practice, here are some examples of typical tribal decisions. Are they policy or administrative? If they are policy, what level of policy?

- The Economic Department Director proposes construction of a new recreation facility. Is this a department administrative decision, or a tribal policy council decision? It is both, and you need to consider the implications of such a decision.

- The tribal personnel department proposes a new policy on employee lunch hours. A policy decision? Certainly. But, a council level concern? Probably not.

- The tribe decides to apply for federal community development funds and, as part of the application, must prepare a housing assistance plan. A policy issue? Clearly, yes – and definitely worth the council's time and attention.

Most, if not all tribes, have a community manager, tribal operations manager, tribal chief administrative officer, or other similarly titled position that acts in the capacity of what a city government may have in its city manager. He or she is responsible for the day-to-day operations of the tribe along with the tribal president, chairman, governor and the vice president, vice chairman or lieutenant governor. Issues that require immediate attention are determined by the community manager and he/she coordinates the administrative staff to address the problem or item. This may or may not include the president and/or the vice-president.

Tribal council members on the other hand may or may not assist in these matters. Their role is different however; their involvement may be required for a particular reason. Because there are often subcommittees, enterprise boards, review panels or other appointed positions that a council member may have responsibility for, their participation may be based on the work they do for their committees.

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The community manager runs day-to-day overall government business, prepares reports for the council, and coordinates the many programs to make sure that the council's policy is carried out. He/she also creates new programs if needed and authorized by the council. His/her duties include responsibility for all administrative functions of the tribe not otherwise prohibited by the tribal constitution or by tribal ordinance or Federal law. The tribal council refers tribal administrative questions to the tribal manager for action. He/she prepares an annual budget and prepares and presents the long-term capital improvement program to the council annually. He/she is also responsible for the appointment, supervision and dismissal of all employees according to the personnel policies, sees that resolutions and ordinances of the council are executed and performs many other administrative functions.

Personnel policies and procedures dictate how employees interact within the government. It is a good idea to get a copy and read them if you will be working within the system for any amount of time. While the policies may only cover permanent employees, it is best to know how the department where you are assigned to work functions within the government structure. It also is good to know the chain-of-command of the departments.

As a volunteer or temporary employee of a tribal government, one should expect to hear all kinds of statements and "rumors" on what "council" said or did. Generally, the activities of the council are subject to much interest and speculation within the government operations. The tribal staff, many whom are members of the tribe, like to discuss council meetings and what took place weekly or however often their council meets. While this interest is healthy and it shows good citizenship, many times the information being spread is incorrect and loses much in its interpretation.

Because the council is perceived to be the "boss" and may have to ask questions of a department director about service delivery to its constituency, employees inevitably feel that they are being scrutinized and may sometimes feel they are being "picked on". The council members cannot and should not make an effort to approach employees to express their concern without going through the proper channels, in this case the community manager. The community manager is charged with overseeing the employees of the tribe and has the authority to take employee actions. This is, again, the administrative function of a tribe.

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Most grievances and employee problems are handled at the tribal administrative level. However, council meetings may include as part of their agenda a time for community members to address the council. Members may have complaints of service from a department of the tribe or may be seeking contributions for various activities, which may be for the community as a whole or a community member may just want to express concerns or provide information to the council. In this forum, the council members may have a reason to follow up on issues which may be administrative in nature however, because the issue was brought out in a council meeting, may require a report from administration staff of their actions to resolve the matter.

The importance of knowing the difference between administrative and policy issues of the tribe and of the council is so that interaction with the council is well-defined, whether it be personal or part of your job responsibilities.

It is important to build a good working relationship with the council at your tribe because it promotes the work that you do for the tribal members and ensures the program's continuance in the community. When resources are limited and the council has to decide which programs get funded or not, they will examine the track record of a program to determine its value and effectiveness to the community. It is important to have a relationship with the council members so that you have an advocate to support your activities. Some tribes have subcommittees or standing committees that address specific areas of tribal operations such as natural resources, economic development, cultural resources, and so on. This can help in creating a more personal relationship with council members serving on the committees if your program falls under the authority of a subcommittee.

You may have a personal relationship with a council member; what can or can't you say to him/her? It is not a good idea to unload every single problem you have with the staff in your department or office. A level of professionalism should be maintained for the sake of the program and the staff you work with. It is not in the best interest of the council member to hear all the gossip and problems, which in most cases, can't be addressed by him or her. This is where the administrative responsibilities lie with the community manager and the gossip and problems should not become an issue with a council person no matter how gruesome the details may be. What happens in the meantime is that council members may feel that they have to avoid interacting with certain people or be perceived as unwilling to do anything

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about the problems they have been hearing about. In most cases, the concerns are in fact passed on to the proper authority, the community manager for his/her action. It is beneficial to have a working relationship with the council however, it is a relationship with that requires careful considerations and it is important to avoid imposing personal or hidden agendas on the member.

GOVERNMENT-TO-GOVERNMENT RELATIONSHIPS

Tribal governments face the task of having to respond to their communities and the needs of their membership and maintain ongoing intergovernmental functions with surrounding municipalities, the state and the federal government. In some circumstances federal funds are available to tribes through intergovernmental agreements with the state. Maybe it is the only way to access those particular funds, which are needed for the programs at the tribe; however, it is not the method of choice by tribes to receive funds. The issue is tribal sovereignty.

Long gone are the days when tribes could remain in a vacuum and concentrate on the needs of the tribe. Today outside interests impact tribal government in a way that is unprecedented. The state government, in negotiating a required gaming compact with tribes, is pushing to receive a percentage of tribal dollars generated from casino businesses. The impact of losing this revenue to the state would be great in tribal communities that are still trying to provide the basic necessities for their people. It behooves tribal leaders to maintain an open dialogue with key legislators to impress upon them the impact that such a provision would have in the tribal communities. Nationally, Congress has repeatedly slashed federal budgets for American Indian health, education and welfare. The decline in funding for services to tribal members is contrary to past agreements and treaties, which hold the federal government to its trust responsibility for the health, education and welfare of American Indians in the nation. Additional efforts to violate the federal government's trust responsibilities to the first peoples of the nation are ongoing with each new session of Congress.

To develop and implement intergovernmental goals it is necessary to become ACTIVE as well as REACTIVE in our relationships with other governmental levels. Activities of tribal governments influence and are influenced by the outside world and it is important to deal effectively with external pressures. More and more those tribes located adjacent to urban areas experience issues that must be dealt with by both sides because of a common boundary.

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How does all of this factor in your dealings with the tribal council? The tribal government is extremely cognizant of its relationship to outside governments and insists on dealing with them on a government-to-government basis. All official documents to outside governmental agencies must be signed by the tribal president, chairman or governor. It is never proper for tribal staff to sit in meetings on behalf of a tribe with high officials from another jurisdiction. There is strict protocol involved in situations between government officials whether it is city, state or federal entities. It is recommended that all questions regarding protocol be directed at the community manager.

INTERACTION WITH TRIBAL COUNCIL

All things considered, how does one make a presentation to the council?

First of all, will you be presenting information or material for their review? If you will be presenting information, what is the protocol for getting material to the council? Contact the tribal secretary to seek information on when to get the materials to him/her for distribution to the council. The council may receive a document one week and act on it in the next week or two depending on whether additional information is required. Sometimes action on a request is delayed because the information provided to the council is incomplete.

Remembering that the council receives mountains of documents and information on a weekly basis, ask yourself whether you need to develop a summary of the information packet or a fact sheet. This is most helpful to a council member who would prefer a summary to reading an entire document or report just to determine what the staff is requesting.

Is there additional information that would help convey your request? It may help to include a map, previous language if requesting an amendment, a clean copy of a resolution (having used the spell-check function), an amended budget if requesting a supplemental allocation, or a current budget if requesting a budget adjustment. Was there a legal review of the documents if there are contractual matters? These are some of the reasons that requests are not addressed until more information is submitted.

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There is formality in addressing the council. Usually the protocol is to greet the council in this manner: “Good evening, (or afternoon, or morning), President , Vice- president _____ and members of the council. Thank you for this opportunity to come before you today to present.....” or words to that effect. Introduce yourself and relax! It can be nerve-wracking for some people to be in front of the council and the audience. A lot of people get nervous and there is no need to be concerned that the council is judging you and your presentation. If your information was complete and included all the points that needed to be covered, they most likely will ask questions or may feel comfortable enough to entertain a motion to approve your request.

- Justify requests for program matching funds. The council cannot remember every agreement and its full purpose. Tribal governments are being asked more and more to provide matching funds for various programs and the request is not unique; however, it is advisable that a simple discussion on the merits of the program and the need for it at the tribe be presented. This is a good opportunity to highlight your program and its successes to the council and to the community members in the audience. While it is a great opportunity, it is wise to keep your presentation to a limit and conclude long before the members of the council get that glazed look in their eyes. You want to be remembered for having a great program and not for being that “long-winded” person. If you have to go before council again in the future or on a regular basis, this makes a big difference!

- If there is a need to follow up on a request to a council member, it is best to respond to it right away. The information as previously discussed, may be the only information holding up a decision to approve a request.

All in all, a tribe is grateful that volunteers and workers choose to be in their community and your presence shows your dedication to assist the tribal members in some way. The members of each tribal council are elected from the membership of their own communities and are individuals committed to improving the lives of the people of the tribe. Their efforts to do this are made easier by volunteers and dedicated individuals like you.

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Sample Resolution

President:
Clerk:
Treasurer:
Address*:*

Telephone:
Fax:

EXECUTIVES PRESENT **PRESIDENT**
CLERK
TREASURER

AMERICORPS GRANT/RESOLUTION

Motion by Tessa James Seconded by Chrystal Allen that Tribal Council approved the following resolution;

WHEREAS, the Eagle Butte Tribe of Indians has the inherent sovereignty to protect, develop and ensure the health and welfare of its Tribal members, and;

WHEREAS, the Eagle Butte Tribe will assure that its Tribal members have the ability to live a clean productive life, and;

WHEREAS, the Eagle Butte Tribe planning department has held public meetings, and distributed a survey that has provided information outlining the most pressing needs of the Eagle Butte Tribe community, and;

WHEREAS, this survey has identified Language, Culture and the Arts, Environmental clean up and tutoring as the most demanding needs of the community, and;

WHEREAS, the Planning Department identified the AmeriCorps program as being one method which would provide 20 enrolled Eagle Butte Tribal members to assist in resolving some of these community needs, and;

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WHEREAS, the AmeriCorps program focuses on three main objectives while working to address communities needs: Getting things done, Strengthening Communities, and Developing members, and;

WHEREAS, the AmeriCorps program would provide a living allowance of $10,000 and an educational stipend of $4,725 which can be used towards college, vocational school or to pay off student loans for the 20 participants;

NOW, THEREFORE BE IT RESOLVED, that the Eagle Butte Tribal Council hereby authorizes the Eagle Butte Tribe planing department to submit a grant application to the Corporation for National and Community Service for the development of an AmeriCops program, which will focus on addressing some of the significant needs of the community, and;

BE IT FURTHER RESOLVED, that the Eagle Butte Tribal Council hereby authorizes the President, J. C. Wallace, to sign all necessary documents in furtherance of these efforts.

CERTIFICATION

I hereby certify that the forgoing extract is a true and correct copy from the Minutes of the Special Session of Council of the Eagle Butte Tribe held on August 23, 2001, the original of which is on file in the Clerk's Office of the Eagle Butte Tribe

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and cause the seal to be affixed at the Eagle Butte Tribal Building on the Eagle Butte Mountain, 518 East Red Lane, Mesa, Arizona on the 22nd day of August 2001.

ATTEST:

_____ _____

Maya Timms, Clerk Tribe

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SAMPLE

TRIBAL AMERICORPS PROGRAM

FACT SHEET

Program Overview:

The AmeriCorps Program is funded by the Corporation for National and Community Service. AmeriCorps supports local, state, and national organizations across the nation that involves Americans in results-driven community service. AmeriCorps participants (called members) who serve full-time for a year receive a living allowance and, after their service, receive an education award worth $4,725.

The mission of the AmeriCorps program is getting things done—improving communities by helping solve problems in the areas of education, public safety, the environment, and other human needs.

Tribal Program Objectives:

1. The tribal AmeriCorps members will distribute firewood that is generated by cleaning up logging debris to elderly tribal members who use firewood for heat in the winter.
2. The program will recruit community members to assist the AmeriCorps members in cleaning the logging debris and distributing the wood to elderly tribal members.
3. The program will help strengthen the community by sponsoring storytelling, and other social events that will be open to the entire community.
4. The Program Director will develop Individual Development Plans (IDPs) for each AmeriCorps member and provide the appropriate individualized training for each member.

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Tribal Contact Person:

David Dart
Telephone Number: 444-555-6666

Allowable Activities:

1. Cleaning debris from tribal timberland.
2. Organizing and stacking the wood.
3. Distributing the wood to the tribal elders.
4. Organizing storytelling and other social events sponsored by the AmeriCorps program.
5. Helping with the storytelling and other social events sponsored by the AmeriCorps program.

Unallowable Activities:

1. Lobbying or performing activities designed to impact legislation.
2. Political activities including voter registration drives
3. Religious activities.
4. Activities that pose a safety risk to participants.
5. Fundraising.

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CHAPTER 10
TRIBAL START UP: KEY POINTS

A. Overview

This chapter should be used as a start up reference section. It refers you to further detail in the Startup Manual and the other Chapters of the Tribal Directors manual. For an In Depth overview of Start-Up Issues, please refer to CNCS document: New Program Start-Up Institute. ETR Website: http://nationalserviceresources.org/resources/online_pubs/americorps/startup_guide.php?search_term=AmeriCorps%20Start%20Up%20Guide

ACKCO has incorporated components of the Startup Manual and cross-referenced key sections with corresponding sections in the Tribal Directors Manual.

Please see the Program Development and Management charts on the following pages.

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Program Development and Management

	Community and Site Partnerships	Recruitment	Member Development and Support	Policies and Procedures	Financial and Grants Management
Two-three months prior to the start of the year:	❑ Hold focus meeting with each site. ❑ Meet individually with each site supervisor to determine needs, objectives, and member roles. ❑ Develop program calendar. ❑ Plan orientation for site partners.	❑ Research possible outlets for recruitment, e.g., community fairs, the media, or colleges. ❑ Identify target member population and resources. ❑ Create marketing materials, such as flyers, brochures, newspaper and radio ads, and a website. ❑ Spread the word! Go to fairs, visit colleges, post flyers. ❑ Develop and publish service descriptions. ❑ Post information about your program on the AmeriCorps Recruitment and Placement System (www.americorps.org/resources/).	❑ Assess needs for member orientation by talking to former members, site supervisors, and other national service programs. ❑ Brainstorm training topics and formulate goals for orientation. ❑ Plan and design member orientation. ❑ Develop budget for member orientation. ❑ Read Starting Strong: A Guide to Pre-Service Training and other resource materials on training.	❑ Read grant provisions and the Program Director's Handbook. ❑ Begin interviews, reference checks and hiring for staff positions. ❑ Develop forms, such as service-hour tracking forms, member contracts, member handbook, grievance procedure, and monitoring and reporting. ❑ Order and purchase office supplies, member gear and AmeriCorps handbooks. ❑ Subscribe to a national service listserv.	❑ Review budget ❑ Obtain funds to provide cash match (if applicable). ❑ Set up payroll for staff and members. ❑ Develop accounting system to capture program expenditures (CNS and match). ❑ Calculate grantee share and invoice. ❑ Calculate in-kind for sites. ❑ Prepare member orientation budget.
One month prior to the start of the year:	❑ Conduct orientation for site partners, including a review of policies, prohibited activities, service descriptions and reporting procedures. ❑ Create formal Memorandas of Understanding with site partners.	❑ Develop interview form and procedures. ❑ Set and begin interviews (two per member) with program staff and host site. ❑ Begin reference and criminal background checks.	❑ Arrange for logistics, such as meeting space and food; assign tasks to staff. ❑ Contact trainers: Call your commission, board, outside trainers, community colleges, etc. ❑ Collaborate with other national service programs or partner sites. ❑ Arrange for transportation and child care.	❑ Once members have been selected, send them info packets and request documents needed for your files, such as W-4s, driver's licenses, diplomas, and birth certificates. ❑ Help out-of-state ❑ members find affordable housing by networking with other programs or arrange for temporary housing for their first month. ❑ Review proposal and set up evaluation mechanism.	❑ Train sites on documenting in-kind match (if applicable). ❑ Develop bidding procedures. ❑ Select health care provider.

Program Development and Management

	Community and Site Partnerships	Recruitment	Member Development and Support	Policies and Procedures	Financial and Grants Management
One week before start of the year:	❑ Ensure each service site plans an orientation for members.	❑ Send welcome letter to new members.	❑ Finalize orientation logistics. ❑ Rehearse trainings. ❑ Hold prospective member social event.	❑ Monitor member files to see what still needs to be turned in.	❑ Enroll members in health care plan. ❑ Enroll eligible members in AmeriCorps*CARE.
First month of program year:	❑ Meet with members and site supervisors to set goals and ease the start-up process.		❑ Hold member orientation. ❑ Help members to get forbearance for qualified loans. ❑ Plan ongoing development: set dates for regular team meetings, trainings, service projects, celebration, and reflection.	❑ Enter members into WBRS. ❑ Set up schedule of due dates for reports (both fiscal and program). ❑ Implement evaluation mechanism.	❑ Set up schedule of due dates for reports (both fiscal and program). ❑ Set up format and times for meeting to review budgets versus actual expenditures.
Ongoing during the year:	❑ Obtain feedback from sites through written evaluations or monthly meetings. ❑ Monitor sites through regular site visits and meetings with key staff. ❑ Share program successes with partners.	❑ Continue outreach and recruitment efforts. ❑ Continue selection process.	❑ Survey members on training needs. ❑ Conduct mid-year and end-of-year performance evaluations. ❑ Meet monthly with members individually and as a team. ❑ Arrange for post-service planning, such as résumé writing or job shadows.	❑ Enter member hours into WBRS. ❑ Keep members informed of hours. ❑ Timely submission of reports (both fiscal and program). ❑ Prepare and submit exit paperwork.	❑ Regular monitoring of budget versus actual expenditures. ❑ Monitoring of match in budget versus actual reported. ❑ Timely submission of reports (both fiscal and program).

Program Development and Management

	Community and Site Partnerships	Recruitment	Member Development and Support	Policies and Procedures	Financial and Grants Management
1st Quarter	❑ Develop site buy-in with site supervisors (host an initial meeting together with members). ❑ Involve sites in Pre Service Training. ❑ Ensure quality member orientation at site. (work plan, info. binders, guidelines). ❑ Share policies and procedures of AmeriCorps. ❑ Sign site agreements. ❑ Begin site visits/training's. ❑ Setup email for communication – feedback. Use it (or blast fax) for weekly/monthly updates for members and sites. ❑ Understand political climate of site, and get to know more than one staff member at the site. ❑ Set up systems of communication – time logs, deadlines. ❑ Determine skill level of members – what members will offer. ❑ Say it…write it…send it. Document everything!	❑ Fill final slots in Corps. ❑ Internet – accept online applications. ❑ Outreach – develop relationships and contacts i.e. colleges, public schools, work study office, career dev. office, student organization, college departments, service sites, and community organizations. ❑ Word of Mouth i.e. referral incentive (money for recruiting), two-year repeat service, each one reach one, and tell success stories. ❑ Set recruitment goals for year-long recruitment process (number of Corps members, skills required, and position description). ❑ Evaluate recruitment plan with new members. ❑ Implement start of next year's recruitment plan.	❑ Orientation—covers building commitment, goal setting, team building, stress management, resumes. ❑ Finalize training plan for the year, book trainers, and sites for the year. ❑ Develop individual member development plans with each member. ❑ Set one on one meetings with members to assess needs and skills. ❑ Set and reinforce expectations, and develop norms. ❑ Needs assessment, being open to change (open-minded), wellness, and motivation. ❑ Program specific trainings.	❑ Develop glossary of terms for staff, members, and sites. ❑ Develop phone tree for member transportation. ❑ Go over grant provisions with site supervisors. ❑ Discuss and clarify expectations from Program Officers re: reports, etc. ❑ Attend Supervisor training for new Program Directors. ❑ Adapt member file checklist for all new members. ❑ Create/implement policy for probation of members. ❑ Create corrective action plan for sites. ❑ Get and give hands-on training in use of WBRS. ❑ Orient new program staff with Program Officers. ❑ Develop weekly/monthly updates and reminders to sites and members about reports, meetings, policies, etc.	❑ Embrace WBRS! Learn the tools. ❑ Create forms: Expense vs. budget, in-kind donation, project planner, fund-raising recognition, funding sources, accounting software setup, and document files. ❑ Review financial reports every month. Budget vs. actual, and match. ❑ Submit financial report monthly on WBRS. Record expenses, and in-kind. ❑ (Some states) Submit Financial Status Report on WBRS. Check with your Commission. ❑ Prepare renewal application to Corporation for National and Community Service. ❑ Identify funding partnerships to be developed during the year.

Program Development and Management

	Community and Site Partnerships	Recruitment	Member Development and Support	Policies and Procedures	Financial and Grants Management
2nd Quarter	❑ Reinforce big picture of AmeriCorps (service learning & how we fit in the total picture of the program delivery). ❑ Maintain contact with supervisors (review prohibited activities). ❑ Newsletter (featuring successful partnerships, distribute to partners, future ones, and advisory board). ❑ Write press release, showcase service, and make presentations and videos to market program. ❑ Documentation and evaluation. ❑ Quarterly site supervisor meeting: AmeriCorps identity: rewarding members in gear, request and report on best practices at sites reinforce 1st quarter items. ❑ Monthly call to site supervisors to check in about each member.	❑ Year long recruitment plan: emphasize network – family, friends, and referrals from other organizations.	❑ Topics: Stress management, diversity training (disabilities, sensitivity); reinforce expectations, conflict resolution, time management, wellness, evaluation, program specific trainings and motivation. ❑ Member appreciation. ❑ Set one on one meetings with members to review progress. ❑ Recruit members to provide trainings in their skill areas. ❑ Review and reinforce expectations and norms.	❑ Audit member files in the middle of the year. ❑ Give regular printouts of member hours to keep them up-to-date. ❑ Develop catch-up plans for members falling behind. ❑ Regular meetings with Program Officer. ❑ Create/implement policy for member evaluation. ❑ Monthly/quarterly review of WBRS files/reports. ❑ Completion of APR and Progress Report.	❑ Fundraising. Strategy plan development for next year. ❑ All programs: Submit financial status report on WBRS. ❑ Submit financial report monthly on WBRS. Record expenses, and in-kind. ❑ Review financial reports every month. Budget vs. actual, and match. ❑ Submit renewal application to Corporation for National and Community Service. ❑ Send results and update to funders and partners. ❑ Work on funding partnerships.

Program Development and Management

	Community and Site Partnerships	Recruitment	Member Development and Support	Policies and Procedures	Financial and Grants Management
3rd Quarter	❑ Documentation Maintenance. ❑ Site application process for next year. ❑ Documentation and evaluation. ❑ Quarterly site supervisor meeting: Recognition of members and site supervisors, get feedback on program quality and needed changes. ❑ Monthly call to site supervisors to check in about each member.	❑ Year-long recruitment plan: develop/assess printed materials (flyers, newsletters, and posters). Need to target the audience and limit pitch to vital information. ❑ Involve members in recruitment: "Each One Reach One."	❑ Topics: Stress management, member appreciation; reinforce expectations, needs assessment, computer skills, wellness, program specific trainings and motivation. ❑ Mid year retreat. ❑ Meet with members and sites to develop skills, knowledge and practices specific to the program's objectives for next year.	❑ Give regular printouts of member hours to keep them up-to-date. ❑ Regular meetings with Program Officer. ❑ Reminders to sites and members about reports. ❑ Review policy and procedures/share resources in preparation for next year. ❑ Develop catch-up plans for members falling behind—assess progress.	❑ Review financial reports every month. Budget vs. actual, and match. ❑ Submit financial report monthly on WBRS. Record expenses, and in-kind. ❑ (Some states) Submit Financial Status Report on WBRS. ❑ Work on funding partnerships.
4th Quarter	❑ Select next year's site partnerships. ❑ Train site supervisors on provisions, working with members, reporting, etc. ❑ Establish clear expectations with site supervisors. ❑ Quarterly meeting: Perform reflection, program and member evaluations. ❑ Graduation and awards for Supervisors. ❑ Exchanging resources for media. ❑ Monthly call to site supervisors.	❑ Design selection process: that you are looking for (experience, demographics). ❑ Interview: Give scenarios, check references, and look at demeanor, hygiene, punctuality, trust gut feeling, use written/verbal application, more than one interviewer, literacy requirement, transcripts, and letters of recommendation. Use members on interview team for peer insight. ❑ Canvassing: Sporting events, community service events, concerts, job fairs, and volunteer fairs.	❑ Topics: Stress management, resume use, professional skills and program specific trainings. ❑ Get focus group input for next program year's trainings. ❑ Evaluate members; prepare eligible members for Year 2 roles. ❑ Assist in job/school search/ Life after AmeriCorps. ❑ Member graduation and celebration. ❑ Review Education Award process.	❑ Give regular printouts of member hours to keep them up-to-date. ❑ Regular meeting with Program officers. ❑ Reminders to sites and members about reports. ❑ Exit members from WBRS.	❑ Review financial reports every month. Budget vs. actual, and match. ❑ Submit financial report monthly. Record expenses, and in-kind. ❑ All programs: Submit financial status report. ❑ Work on funding partnerships. Work on funding partnerships. ❑ Invite partners and funders to graduation celebration.

B. Tribal Program Development and Management (Laying the Foundation):

This section is relevant for tribes that carefully evaluated AmeriCorps as an effective program structure to serve the community's needs. Your tribe determined that it is prepared to meet the requirements of an AmeriCorps grant and has submitted the AmeriCorps Grant Application. A number of tribal systems and structures need to be in place, pending grant award notification.

The next few months of preparation will begin building the foundation for your AmeriCorps program. Laying the Foundation section is designed to help your tribe prepare by assisting you to implement the vision for your AmeriCorps program and to develop the necessary systems to ensure your program is successful. The work will be significant. Let's begin laying the foundation for a high-quality program. Put your hard hats on and dig in!

Key Points:

- Create a program design that meets the community's needs.
- Develop effective performance measures for your program.
- Develop staff position descriptions.
- Apply knowledge of federal and state rules and regulations, grant provisions, and tribal policies to establish guidelines and procedures for the management of your AmeriCorps program.

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1. Designing the Program

What is program design?
AmeriCorps program designing is the thoughtful process of creating a performance-driven project that addresses the identified needs of a community through service. The design process includes determining the host agency, program budget, staffing, service sites, number of members, member positions, service activities, program type, supervision, oversight and other issues.

Why is program design important?
The program design drives the operation and success of a project. If the design does not adequately support the proposed activities and the need being addressed, the project may not be successful.

How do you do it?

- Research the need and determine best practices to address the need.
- Assess the resources in your community.
- Consider needs, resources and accessibility of stakeholders.
- Consider the unique demographics and infrastructure of your community (i.e. rural, urban transportation availability, hours of operation, accessibility, etc.).
- Be creative.
- Let the community need drive the design of the program.
- Review and incorporate the AmeriCorps program requirements into the design of the program.
- Incorporate evaluation and reflection into the design of the program.
- Outline the "big picture" of what the program will look like once it is operational.
- Use the *Blueprint for Designing an AmeriCorps Program* to guide the development of your program design. Review the checklist for steps you will need to take.
- Review Tribal Sovereignty: Tribal Directors Manual Chapter 9-1.
- Review Working with Tribal Councils: Tribal Directors Manual Chapter 9-2
- Secure a Tribal Resolution: Tribal Directors Manual Chapter 9-15

NOTES:

Frequently Asked Questions:

If all of the requirements of the AmeriCorps program are covered, haven't I automatically designed the program? *No. Designing a program incorporates program requirements, but it is a process that goes to the next level. Once requirements are understood, they must be included in the crafting of a service program. A program should be designed to address a community need while meeting the program requirements, not the other way around.*

Will the program design remain the same? *Probably not. That is why reflection and performance measurement should be incorporated into its structure. Successes and failures will determine what components of the program design will remain, be improved upon, or be changed.*

Who should be involved in designing the program? *Experienced service and issue area practitioners, program managers, community members, and those who will be tasked with operating the program should drive the program concept. Where appropriate, Key Tribal Leaders, Tribal Department Heads, Key Tribal Committee Members, and Local Tribal Chapters, should be consulted.*

2. Performance Measurement

What are Performance Measures? Performance measures are indicators that allow you to track both the amount of work done by your program and the impact of this work on your program beneficiaries. Performance measurement is a useful tool for managing your program. It allows you to track the progress of your program towards larger goals, to identify program strengths, and possible areas for improvement.

Why do you need Performance Measures? Performance measurement allows you to:

- clarify the purpose of your program and the way specific services contribute to achieving desired results;

NOTES:

- document the actual results of program activities; and
- improve program performance by identifying program successes and areas for improvement.

How do you do it?
Review the Corporation's Guidelines and application instructions in order to understand the Performance measurement requirements. While there will be specific information about the number of performance measures, the types of results, and suggested methodology, your performance measures will fall into three categories of program activities:

Three Categories of AmeriCorps Performance Measures		
Needs and Service Activities	***Participant Development***	***Strengthening Communities***
This performance measure addresses the impact of your program activities on community needs. **(What do we accomplish?)**	These performance measures address the impact of your program on the personal and professional development of your AmeriCorps members. **(How does your staff assist the member's personal and professional development?)**	This performance measures should relate to increasing and sustaining resources in the communities you serve. **(How will you improve your community?)**

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Frequently Asked Questions

Is there a resource I should use to develop my performance measures? *Yes. Use the Performance Measurement Toolkit at www.nationalservice.org/resources. It is strongly recommended that you use this resource.*

Can I get support in writing my performance measures? *Yes. The Corporation has training and technical assistance providers to help applicants and grantees develop performance measures. If your program is approved for funding, check the website above to identify providers who can assist you in revising your performance measures, if necessary.*

What other supports are available to me? *Other AmeriCorps programs can be helpful by sharing their experiences. Take advantage of the experience of other tribal programs.*

Tribal Support*: ACKCO collaborates with project STAR to assist in the development process of Performance Measurements with special sensitivity to the tribal working environment. Contact ACKCO, project STAR or your corporation Program Officer if you are interested in assistance. Assistance can take the form of developing Performance Measures, Rewriting Performance Measures, Developing Data Collection Tools to Support your Performance Measurements, and Data Collection Schedules.*

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3. Develop Staff Position Descriptions

What is a Position Description?
A position description describes the responsibilities, tasks, functions, and reporting structure for a position.

Why do you need Position Descriptions?
A position description helps focus a tribe's work by making explicit the responsibilities of each staff person. Staff use the position descriptions to guide their day-to-day tasks and duties. Supervisors use position descriptions to evaluate staff performance.

How do you do it?
Writing a position description requires three basic steps:

1. **Conduct a job analysis**. Examine the tasks and sequences of tasks necessary to perform the job. The analysis identifies the areas of knowledge and skills needed by the job. (**What activities or functions does this job perform? What special skills are needed to complete the activities or functions? How can staff performance be appraised?)**

2. **Establish a job title and salary.** The title and salary should correspond to the level of responsibility. See Resources below for additional links. (**Does the title reflect the responsibilities? Is the position adequately compensated?**)

3. **Write the position description**. Position descriptions should be written in brief and clear sentences.

   - Determine the percentage of time each staff member will be working with the AmeriCorps program. You will use this information in your grant application.
   - Complete the job analysis for each position required to operate the AmeriCorps program.

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- ❑ Write or update all position descriptions to reflect new responsibilities associated with the AmeriCorps program or changes in existing responsibilities.
- ❑ Communicate the proposed position descriptions to existing staff and work with your Tribal Personnel Department to develop, modify or approve Staff Position Descriptions.
- ❑ Establish Communication Protocol for Staff and Members in regards to Tribal Council. See Tribal Directors Manual Chapter 9-4.

Frequently Asked Questions

Do I have to have a position description for every staff member? *Yes, at least as it relates to the AmeriCorps program. It is an effective practice to have position descriptions for every staff member of your tribe to ensure that responsibilities are clear.*

Are there special considerations in selecting and assigning staff members to supervise AmeriCorps members? *Yes. Members are neither traditional volunteers, nor are they regular professional staff. AmeriCorps supervisors must focus on the tasks of the project and the task of developing the program members in their charge. To the extent possible, select staff members with prior supervisory experience who enjoy dealing with "the unexpected". Build flexibility into the supervisory position description.*

4. Policy, Procedure, and Regulation Compliance

What does it mean to comply with policy, procedures, and regulations? Basically, your tribe must abide by a set of requirements and policies once you accept federal money. These procedures, regulations, or policies flow from federal, state, or local grant-making entities.

Why do you need to comply with policy, procedures, and regulations? Compliance is not optional! You must comply with all regulations to maintain good standing with the Corporation and to continue receiving the support and funding provided in your grant. Consequences for noncompliance may include reduction or loss of funding, repayment to the U.S. Government of funds that may have been improperly spent, lawsuits, and jail time.

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How do you do it?

- Become thoroughly knowledgeable of the AmeriCorps grant provisions, OMB Circulars, and related regulations.
- Become knowledgeable of the Provisions related to Tribal Programs. See Tribal Directors Manual. Chapter 3-76
- Become knowledgeable with Rulemaking. See Tribal Directors Manual chapters 3-126(?)
- Ensure all staff, but especially your senior management, understands new and existing regulations.
- Your human resource representative or someone functioning in that capacity must ensure that new regulations are included in Employee Handbooks and that all staff are trained on relevant regulations.
- Provide focused training on regulations and compliance issues to your staff. Make sure they understand what is needed as part of the AmeriCorps grant.
- Determine whether there are State regulations that you need to consider.

Frequently Asked Questions:

How can accepting the AmeriCorps program grant impact our current operations? *The* new policies might require that you make some changes in the standard program operations*. If a problem arises in the realm of compliance, questions will be asked as to whether the climate of the tribe sustained a particular environment of noncompliance.*

What happens if the program is not in compliance with the grant provisions? *The consequences of noncompliance will vary according to the nature and severity of the noncompliance. For example, late or deficient reporting may result in a loss of funding. Failure to document costs may result in having to repay the government.*

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Tribal Program Development and Management: **(Months 0-3**):

No time period is as intensive as the first three months of your AmeriCorps program. During the first three months, you will hire and orient new staff; recruit, enroll and train your AmeriCorps members, establish relationships with community departments, and conduct other tasks to build your program. Establishing effective management systems will go a long way to ensuring your program's success.

You may need to adjust some of your current systems and processes or create new ones to accommodate AmeriCorps program requirements. This preparatory work may seem burdensome, but in the end, the resulting systems will keep your program running smoothly and should even strengthen your tribe overall.

If you are beginning a program from scratch, you might be feeling overwhelmed by the many requirements related to AmeriCorps program “startup” and wondering where to start. Based on the lessons learned by other AmeriCorps programs before you, this section will help you anticipate and develop the “good start” systems you need as a foundation.

Key Points:

- Develop partnership and subgrantee agreements.
- Set up the WBRS (Web-Based Reporting System).
- Design and deliver a pre-service orientation for your AmeriCorps members.
- Design and deliver a pre-service training for your AmeriCorps members.
- Develop and implement a marketing and public relations strategy.

Develop Partnership Agreements

What is a Partnership Agreement? This document specifically identifies the roles, responsibilities, and obligations existing between your tribe and your service site partners or partnering tribes. Whether you are a grantee or subgrantee with multiple sites seeking to build partnerships with local community departments or other tribes where Corps members perform service, it is important to spell out the roles, products and/or services each department or tribe is responsible for accomplishing.

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Why do you need a Partnership Agreement?
Both parties need a written document that **clearly** describes how the two will work together, what service(s) will be performed, when that service will be performed, what the financial and resource investments will be, who has supervisory responsibilities, and how the success of the service activities and the partnership relationship will be measured. Whew! Quite a list! In short, don't enter into a partnership without an agreement. Otherwise, headaches may follow.

How do you do it?

- Conduct a site visit with key personnel from your prospective partnering tribes to identify site supervisors, task responsibilities, site-specific training requirements, working environment, on-site monitors, and required AmeriCorps systems.
- Determine the financial and resource obligations of each partner.
- Orient the partnering tribes to the AmeriCorps and National Service philosophy.
- Train site supervisors on grant provisions, prohibited activities, working with members, reporting, performance measurement, etc.
- Create a communication schedule or system with your partnering tribes.
- Identify mutual goals and objectives and the possible tasks to be performed.
- Look for strategic or unique alliances. This can strengthen and broaden the service experience.
- Institute a performance measurement plan to assess the service activities and the partnering relationship.
- Review the *Partner Agreement Document*. Also review the **Community Site Partnerships** section for more information on establishing partnerships.
- Review Sample Site Supervisor Contract (Service Agreement) in the Tribal Directors Manual Chapter. 12-30

Resources
Resource Description Contact
The AmeriCorps Program Blueprint, The Resource Connection, Spring 2001: An overview of beginning a new AmeriCorps program.
www.nationalserviceresources.org/filemanager/download/303/startups.pdf

NOTES:

Set-up Web Based Reporting System (WBRS)

What is the Web Based Reporting System (WBRS)?

The WBRS is an Internet-based tool to enroll and exit members, track member service hours, and submit financial and progress reports. Creating a WBRS account is one of the first things you will want to do after grant notification. Your program will use WBRS to inform the Corporation of the members it has enrolled and whether or not members earn an Education Award.

Why do you need to set up the WBRS?

Using WBRS is a requirement of the AmeriCorps grant. Through the Progress Reporting Forms section you will keep the Corporation informed of the progress your program and member enrollments.

How do you do it?

- *Tribal Programs contact ACKCO, the Tribal TTA provider, for assistance in arranging a WBRS training,* www.ackco.com/cncs *click on "contact us feather" and complete the form indicating you are in need of WBRS training.*
- Create and maintain an information gathering system to use in updating WBRS.

Resources

Resource Description Contact **Web Based Reporting System**

Website to input program data: http://wbrs.net

NOTES:

Implement Pre-service Orientation

What is a Pre-service Orientation?
A Pre-service Orientation (PSO) is an introduction to National Service, the AmeriCorps philosophy and values, and the tribe and site. The orientation has two essential components. The first is an important introductory event to familiarize your Corps members with National Service history, terminology, responsibilities, regulations and rules, benefits, prohibited activities, and service activities. The second component provides to members a context and overview of the tribe and/or partner where they will perform their service.

Why do you need a Pre-service Orientation?
The PSO provides a framework for the service your members will contribute and the community context in which they will work. An effective PSO is a must to get everyone off to a solid start.

How do you do it?
- Review Starting Strong: A Guide to Pre-Service Training for pre-service orientation topics.
- Involve your staff in developing various aspects of the orientation component.
- Create an orientation agenda, adapt and/or collect support materials.
- Identify and solicit help from external trainers if appropriate.
- Create fun, interesting hands-on activities appropriate to adult learners.
- Take the opportunity to build esprit de corps (a sense of connection and community among your members and staff).
- Create an evaluation mechanism to assess if the PSO has been effective. Use results to continuously improve the orientation.
- Review member orientation training in the Tribal Directors Manual Chapter 11 for a complete overview of planning an orientation.

Frequently Asked Questions

What percentage of service hours are allowed for training and orientation activities? *Great question! Programs can allocate only 20 percent of member service hours to orientation and training activities.*

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How long is a PSO? *A PSO can be as long or as short as needed. It depends on your program and the service activities for which members need preparation. We've heard about PSOs as short as 1 day and as long as 4 days. You decide what's best for your particular needs.*

Do we really need a PSO? *Do you ever! This is your first opportunity to set a good tone for your program, begin building a strong, cohesive team, and clarify the rules, regulations, and expectations to members. Hint: Don't call it a retreat or get-away--this is work!*

Resources

Resource Description Contact **Starting Strong: A Guide to Pre-Service Training**
An excellent resource. The Guide was developed specifically to address the needs of AmeriCorps*State, National, and Tribes and Territories programs in designing and delivering pre-service training to AmeriCorps members.
http://www.nationalserviceresources.org/nsrclibrary/index.php

National Service Resource Center
**Great sample forms to tailor to your program.* The NSRC supports and serves the programs of the Corporation for National and Community Service -- promoting volunteerism and community service activities throughout the USA.
http://www.nationalservice.org/resources/nsrc/forms/evaluation.html

VIC9.PDF -> National Service Knowledge Assessment
VIC10.PDF -> National Service Knowledge Assessment Answer Sheet
VIC11.PDF -> National Service Knowledge Assessment Introduction and Rationale
VIE4.PDF -> Generic training session evaluation for members and staff (32K)

Local or regional AmeriCorps programs To get ideas for your PSO

AmeriCorps Orientation video
Gives background to the National Service movement. Corporation for National and Community Service

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Implement Pre-service Training

What is a Pre-service Training?

A Pre-service Training (PST) helps your members develop the knowledge, skills, and attitudes they need to perform well on their assigned service project. Programs are required to provide training to members to ensure that quality and consistent skills are developed in the service delivery area. A PST is a requirement of your grant provisions.

Why do you need a Pre-service Training?

A PST component prepares members for the service activities ahead**.** The Pre-service Orientation discussed earlier familiarizes members with national service history, terminology, responsibilities, regulations and rules, benefits, and service activities. In other words, it focuses on "what" the program is and "why" we do it. The PST complements an orientation by developing or enhancing the skills required for the particular service activities. Here the emphasis is on "how" to perform the service activities and it also helps members to internalize the project's mission and goals.

How do you do it?

- Identify credible and knowledgeable PST trainers.
- Prepare and conduct a Corps member needs/skill assessment. Use this data to design the PST.
- Develop the PST design to address the skills needed by Corps members.
- Clearly specify the outcomes you want to accomplish (…by the end of the PST, the member will be able to….)
- Create a PST agenda and create, adapt and/or collect support materials.
- Create authentic learning experiences so members can apply training to service activities.
- Prepare staff to model teamwork and service culture.
- Monitor, assess, and evaluate. Ask Corps members for feedback and make immediate changes if needed. See the sample *Pre-service Training Evaluation* form.
- Review member orientation training in the Tribal Directors Manual Chapter 11 for a complete overview of planning an orientation.

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Frequently Asked Questions:

What percentage of service hours are allowed for training and orientation activities? *As mentioned in the previous section on the Pre-Service Orientation, programs can allocate only 20 percent of their service hours to orientation and training activities. That means 20 percent for both orientation and training activities, and ongoing training throughout the members' terms of service.*

How long is a pre-service training? *It depends on your program and the service activities that members need to be prepared for. A typical length is several days, but some programs may need as long as a week or more depending on the program.*

Where should we do the actual PST? *Hold it wherever is appropriate for the training design and the budget allocated.*

How will I know if the PST is effective? *If your members are able to carry out their service activities pretty well from the start of the program, then you've probably done a good job in organizing and conducting the PST. The key to a great PST is to make sure the content and methodology of the training are appropriate to develop the types of skills required by the service activities.*

Resources

Resource Description Contact **Starting Strong: A Guide to Pre-Service Training**
The Guide was developed specifically to address the needs of AmeriCorps*State, National, and Tribes and Territories programs in designing and delivering pre-service training to AmeriCorps members. http://www.nationalserviceresources.org

National Service Resource Center
AmeriCorps Member Training Needs and Skills Assessment Form
http://www.nationalserviceresources.org

XVI.D.4.PDF ->AmeriCorps Member Training Needs and Skills Assessment Form

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National Service Resource Center
**Great sample evaluation forms to tailor to your program.* The NSRC supports and serves the programs of the Corporation for National and Community Service -- promoting volunteerism and community service activities throughout the USA.
www.nationalserviceresources.org

VIE4.PDF -> Generic training session evaluation for members and staff
VIE6.PDF -> Participant pre-training and post-training questionnaire

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Develop and Implement a Public Relations Plan

What is a Public Relations Plan?

Public relations (PR) means positively presenting your tribe and its programs to the local community. You use PR to inform the community of your outcomes, impact, and new initiatives. A PR plan is an annual plan that outlines how you will engage the community and the media to present information on important activities and events.

Why do you need a Public Relations Plan?

Quite simply, you need a PR plan to keep the community informed of the great things that Corps members and the program are doing. By effectively using the media, you increase your tribe's visibility. Why is visibility important? Because it can improve your program's sustainability, fundraising capability, and recruitment capacity, to name a few opportunities.

How do you do it?

- Review *Media Hot Tips* for quick ideas about conducting media interviews.
- Obtain a copy of *A Guide to Working with the Media* by contacting the Public Affairs Office from the Corporation for National and Community Service. This is an excellent, easy-to-use resource.
- Review *Develop a Media Plan*
- Develop a Media List. For each television, newspaper (traditional and alternative), magazine, newsletter, or other media outlet, your list should include the name, title, address, e-mail address, phone number, and fax number of key reporters and editors.
- Many newspapers have "beat reporters" who cover certain topics such as education, crime, health, etc.
- Create a press kit about your event or activity. Press kits may include a press release, media advisory, picture(s), your logo, and tribal history. Tailor your press kits to appeal and be accessible to the audiences you are trying to reach. For example, if a sizeable portion of your population does not read or speak English, then translate your media pieces into their first language.
- Conduct media and community outreach training for staff and members. Everyone should be able to enthusiastically speak about the mission, facts, and services the program provides. Review the tool, *Preparing for a Media Interview.*

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- *Tribal Programs review Working with Tribal Councils section of the Tribal Directors manual (chapter 9-2) for key points in outreach and communication with your Tribal Council or key community leaders.*
- Consider including a member of the media on your advisory board.

Frequently Asked Questions

Are there any restrictions on Corps members giving interviews to the media? *Yes. Review the grant provisions for specific guidance. Generally, when wearing the AmeriCorps uniform or identification, or during service hours, members must abide by the conditions outlined in the provisions.*

Where can I go to get help in developing a media plan? *There are two places. First, ask your tribe if they have public relations staff or another appropriate person who can provide guidance, feedback, and resources. A second place can be a public relations firm. Consider building a relationship with a firm that could offer pro bono (or no-fee) services.*

What procedure should I follow that would allow a media photographer to take and publish photos of children and members from our after school program? *At the beginning of the program, each child and member should have a signed permission slip granting your program the right to use the child's or member's name and image in media events and publications.*

Resources

Resource Description Contact **State Commission or Parent Tribe**
Office of Public Affairs or knowledgeable staff person.

Corporation for National and Community Service
Print Materials for Newspapers and Magazines
http://www.americorps.org/resources/yourworld_print.html

Guide to Working with the Media
A downloadable Guide. Highly recommended!
www.nationalserviceresources.org/nsrclibrary/index.php

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Tribal Program Development and Management: (Months 4-6):

Now that you have reached this point…take a deep breath, relax a little, then do some reflecting.

- How did my recruitment and enrollment go?
- Are my partnerships in place and working?
- Are my administrative requirements being met?
- Did my orientation work?
- Is the training calendar appropriate?

The 4-6 month program phase gives you an opportunity to examine your work and your program through the lens of continuous improvement. You will conduct site visits and AmeriCorps member midterm evaluations, but more importantly you will apply meaning to them. What does this examination imply about the need to improve our program? What does it say about how well we are meeting our program's performance measures and the community's needs? You get to look forward and backward at the same time. What has my recent experience told me that I should apply to the same task in the future? For example, what should I put in place for the next recruiting season? How should I modify my site agreements?

Key Points:

- ❑ Assess and report on program progress.
- ❑ Assess and report progress on performance measures.

Progress Report

What is the Progress Report?

A progress report is the report on the progress of your AmeriCorps program towards meeting its performance measures. It is submitted electronically through WBRS. The WBRS includes a section where you will find the forms that should be completed in order to compile your progress report. The progress report will include information about your Corps member enrollment, hours, performance measures, accomplishments, outcomes, and great stories.

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How do you do it?

- Complete the training for WBRS through your state commission.
- Tribal Programs can contact ACKCO or STAR for assistance on completing reports in WBRS.
- Complete the initial set up of the WBRS system.
- Check with your commission or parent tribe to determine how many times per year you need to submit a progress report.
- Tribal Programs: See Reporting Requirements for explanation and sample progress report in the Tribal Directors Manual chapter 3-34 to 3-43.
- Ensure there are systems established to record and capture required data. This includes establishing data collection systems with your Service Sites.
- Maintain an ongoing file of information so that you have it ready when you need it for the APR (Annual Program Report).

Frequently Asked Questions

When do we submit a progress report? *This is submitted through WBRS within approximately 45-60 days of the end of the CNCS fiscal year September 30th.*

Assess and Report Progress on Performance Measures

What does it mean to Assess and Report Progress on Performance Measures? Once your program is in full swing, it is time to begin assessing program accomplishments. The idea is to chart progress toward goal accomplishment, determine the success of partnerships, and determine what is working and what needs improvement. Once you have done the assessment, you should report progress to all stakeholders.

Why should you Assess and Report Progress on Performance Measures? You want to ensure that everyone is doing what they said they would do, members are experiencing a productive and successful service year, communities being served see value in the service the members are providing, and to ensure everything is on target. Most importantly, progress equates to a better chance of continued funding.

NOTES:

How do you do it?

- Identify staff person(s) responsible for collecting and analyzing data.
- Work with your host sites and other partners to identify a method for disseminating and collecting the performance measurement tools (surveys, interview protocols, etc.).
- Tribal Programs: If Performance Measures tools are needed, contact ACKCO or project STAR to develop or modify tracking forms.
- Establish a system that collects program data on a monthly basis.
- Review any performance measurement data gathered from an external evaluator.
- Invite your host site partners, community partners, Corps members, and community members served to participate in completing your Customer Satisfaction Survey.
- If a site visit has been conducted, use that data also to assess performance measures.
- Implement a variety of performance measurement tools and use the data to evaluate program achievement and identify challenges. (See Resources)
- Revisit program goals with partners. Identify next steps and set targets.
- Report relevant information on the WBRS progress report.

Resources

Resource Description Contact

National Service Resource Center

Great sample forms to tailor to your program. The NSRC supports and serves the programs of the Corporation for National and Community Service helping to promote volunteerism and community service activities throughout the USA.

http://www.nationalserviceresources.org/resources/sample_forms/

XVI.B.2.PDF -> AmeriCorps Community Survey
XVI.E.2.PDF ->AmeriCorps Program Director Survey
VIC1.PDF -> AmeriCorps member mid-year self evaluation form
VID1.PDF -> Service site evaluation of AmeriCorps program and members
VID2.PDF -> Site supervisor check-up for AmeriCorps

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C. COMMUNITY SITE & PARTNERSHIPS: (Foundation)

Community service will require the development of relationships. These relationships might be between your tribe and the service sites (places where AmeriCorps members will perform service) or with other community agencies in your area. Keys to having successful, productive relationships are strong communication, clarification, and agreement around responsibilities, requirements, and outcomes.

This section provides the guidance to assist you in identifying tribes that share and support your tribe's service vision. It will also provide concrete steps to initiate the creation of successful partnerships.

Key Start-Up Points:

- Create formalized agreements between your tribe and community partners.
- Develop a request for proposal (RFP) tool and effectively use it to identify service sites and partners.

Creating a Memorandum of Understanding

What is a Memorandum of Understanding (MOU)?
The Memorandum of Understanding or other written document explicitly outlines the roles, responsibilities, requirements, expectations, and functions between your tribe and the partnering tribe. This document has many names including Host Site Agreement, Letter of Understanding, or Statement of Agreement. The basic purpose, however, remains the same.

Why do you need a Memorandum of Understanding?
The MOU basically ensures that each entity understands what it is committing itself to over the life of the service year. Its purpose is to protect your tribe, the AmeriCorps members, and the service site from any miscommunication or misunderstanding of requirements and expectations.

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How do you do it?

- Review the *Memorandum of Understanding Tribe Responsibilities* (MOU) template. This can be used to create your MOU.
- Conduct a site visit using the *Service Site Selection Criteria* tool. Review your findings with staff. Once you've clearly identified the roles, it is crucial that key staff from both tribes sit down, discuss, and clarify their understanding of those roles. Being clear about what each tribe is committing to will reduce potential stress down the road.
- Write your MOU. Review the Basic Elements of a Memorandum of Understanding checklist.
- Review the *MANYCorps Booster Host Site Agreement* and use as a guide.
- Once the MOU is signed, check out the *Plan for New Programs* used by MANYCorps to guide the development of their new programs.
- Review Tribal Directors Manual Sample Site Agreement Chapter 12-30.

Frequently Asked Questions

How detailed should our Memorandum of Understanding/Statement of Agreement be? *Provide sufficient detail in the following areas: Human Resources Support, Training and Investment, Site Monitoring, Financial Support, Material Support, and Performance Measurement Support. It is important that crucial things that could negatively impact any of these five areas be clearly addressed.*

Selecting Service and Operating Sites: Request for Proposal

What is a Request for Proposal Review and Selection Process?
A Service Site Request for Proposal (RFP) is a formal document that invites prospective Service Site Partners to submit a proposal describing how AmeriCorps members would serve at the service site. A service site is the day-to-day host of your AmeriCorps members during their term of service. AmeriCorps members are placed at the service site to provide service to the community. Your tribe and the service site form a partnership, with each accepting responsibility for specific aspects of the AmeriCorps member's experience and the service projects.

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Why do I need a Request for Proposal Review and Selection Process?
An effective way to proceed to identify, review, and select Service Site Partners is to institute a competitive selection process. The submitted proposals are then reviewed and rated according to pre-determined criteria and an objectively run process. The tribes with the highest-rated proposals are selected to become partners.

How do you do it?

- Review the *Service Site Selection Review List* to identify components of a strong service site relationship.
- Review the *LISC Operating Site Selection Process* to identify elements of an effective service site.
- Create a *Request for Proposal* (RFP) and proposal evaluation tools to identify and select qualified Service Sites. Identify the elements important to your tribe and incorporate those into your RFP template. This can go a long way to ensuring you have good working relationships with your sites and a quality service experience for your Corps members.
- Inform local tribes of the RFP opportunity.
- Create a Memorandum of Understanding/Service Site Partnering Agreement in preparation for the completion of the RFP process. See *MANYCorps Booster Host Site Agreement* sample and visit the National Service Resource Center for samples.
- Determine how many Service Site partners your tribe wants to partner with over the service year. Start with a few rather than many Sites; each partner is a relationship that will need development and ongoing support.
- Establish an RFP release, submission, and review process timeline.
- Recruit and train a committee of stakeholders (could be staff, advisory group, or community members) to assist with the selection and scoring process. Decide how to address conflicts of interest that might arise.
- For the actual review step, determine which critical components are “must haves” in submitted proposals. Use the *Request for Proposals Rating Sheet* to identify the best tribes, and create a scoring rubric and form to guide a reviewer in scoring each proposal.
- Follow the timeline established to review and select partner tribes; provide timely written responses to tribes selected or rejected.
- Review the *Four Phases of the Service Site Selection Process*.

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- ❑ Review your grant provisions. Determine what things your tribe must do.
- ❑ Decide how the provisions apply to a potential partnering tribe.
- ❑ Set a timeline to guide the prospective partner phases. Phases could include partner identification, site review using criteria, and finalizing the partnership. Meet with a potential partner during the Program Design phase to discuss the criteria.
- ❑ Communicate! Make and take the opportunity to begin building a strong, trusting relationship with partners.
- ❑ Partnerships work well if they include the following:

    - A clear definition of the roles, responsibilities, and accountability of partners.
    - Active partner participation and frequent communication.
    - A diverse knowledge base among partners.
    - A plan for sustainability and capacity building.
    - An effective advisory group committee.
    - A proactive, well-qualified program director.

- ❑ "Review Site Selection and Management-Tips and Resources" of the Tribal Directors Manual p. 12-34

Frequently Asked Questions

I have a great friendship with the Executive Director of an organization. Can't I just bypass the service site selection process and partner with them? *Don't enter into a partnership without conducting a thorough review process first. This should include interviewing staff, on-site visits, review of record keeping processes, and the like. Make sure that all parties are clear on the expectations and responsibilities.*

How often should we communicate with our service site partners? *Interact with your partners as often as needed to ensure the program's progress and compliance, and to nurture the partnership. Invite service partners to program meetings, consider holding joint staff meetings or meetings with service site supervisors. Keep open and consistent lines of communication.*

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In a competitive process, are we allowed to select departments and tribes we already know and are comfortable with? *Yes, you may select such groups. Just be sure they are well suited to the AmeriCorps performance measures and outcomes and that they rate the highest among other groups. In other words, don't "force-fit" them into your program just because you have enjoyed collaborating with them in the past.*

Resources

Resource Description Contact **National Service Resource Center**
Samples of Host Site and Memorandum of Understanding Agreements
www.nationalserviceresources.org

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Community Site & Partnerships: (0-3 Months)

While developing your Community and Site Partnerships, during the Framing the Program phase, you worked to identify and link with local community tribes. Your goal was to develop relationships with tribes that could function as service sites or complement your AmeriCorps program in other ways. By now you should be well on your way to solidifying partnerships and finalizing the Memorandum of Understanding.

In this section, you will focus on creating and implementing Site Supervisor orientations for all your Service and Host Site Partners. Most likely you will have more than one partner, so you will also learn about managing multiple sites to achieve maximum effectiveness.

Key Points:

- Design and implement a Host/Service Site staff orientation.
- Identify ways to effectively manage multi-site partnerships.

Host/Service Site and Staff Orientation

What is a Site Supervisor Orientation?
A Site Supervisor Orientation is a way to familiarize supervisors with AmeriCorps. It can be conducted in a variety of ways, such as one-on-one training, a workbook, or through a group workshop.

The Orientation accomplishes several essential tasks. First, it introduces supervisors to the philosophy and universe of national service. Second, the orientation familiarizes participants with AmeriCorps' terms and conditions. Third, it establishes shared administrative priorities. Finally, the supervisor orientation clarifies roles and responsibilities. The orientation is a huge step toward building a strong program, establishing close relationships among supervisors, sharing effective supervisory practices, and helping site supervisors feel invested in the AmeriCorps program.

Why do you need a Site Supervisor Orientation?
Site supervisors are responsible for guiding and developing AmeriCorps members, ensuring the day-to-day service activities are executed, and satisfying

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administrative requirements. It is impossible to do this effectively without an orientation. This orientation provides an overview and understanding of the AmeriCorps service landscape plus the tools needed to operate the program successfully.

How do you do it?

- Assess whether the new site supervisors need basic supervisory or leadership skills training in addition to an AmeriCorps-specific overview and information.
- Create an interactive and effective orientation based on the above assessment and on requirements of the AmeriCorps program.
- Use the *Orientation Outline for AmeriCorps Site Supervisors* to guide the development of your orientation.
- Prepare well. Don't skimp on information.
- Hold the orientation prior to the start of the program year so site supervisors can help prepare their tribe to put needed systems and structures into place.
- Take advantage of the expertise of the site supervisors. Capitalize on the skills and resources they possess and consider using experienced site supervisors to facilitate aspects of the orientation.
- Establish a plan for ongoing support for site supervisors who need to respond to requirements, regular meetings, deadlines, and responsibilities. Present and discuss the support plan during the orientation. The *Site Supervisor Ongoing Support* tool can give you ideas of things to include.
- Review Site Supervision and Site Management section of the Tribal Directors Manual. Chapter -. 12

Frequently Asked Questions

Where should we conduct a site supervisor orientation? *The least costly option is to have the orientation on-site at your tribe or at one of the partnering tribe's offices. If you have a large number of site supervisors, you might want to hold the orientation at an off-site location such as a retreat center or civic hall. If you decide to do the orientation off-site, make sure you have funds in your budget to cover the facility and materials costs.*

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Managing Multi-Site Partnerships

What is a Multi-site Partnership?
Simply put, when your tribe is working with one or more partner tribes where Corps members are placed, you have multi-site partnerships. Multi-site partnerships can be difficult if tribes are geographically distant from one another or if there are a large number of partnering tribes in a local area.

Why do you need to know about managing Multi-site Partnerships?
When you have multi-site partnerships, you are working in a programming situation that is relatively complex in terms of oversight, shared supervision, communication and accountability.

There are many places for breakdowns in both systems and support mechanisms and too many breakdowns will jeopardize the program's effectiveness. To create a strong partnership network, you need tailored site supervisor orientation, policy training, national or regional Corps member trainings, consistent and frequent communication, and regular site visits. Together, these components underpin the program and foster success.

How do you do it?
- Implement a strong *Memorandum of Understanding* outlining partnership roles and responsibilities.
- Conduct a strong Site Supervisor Orientation program.
- Develop an ongoing evaluation/continuous improvement instrument to determine the usefulness of field-generated effective practices.
- Implement strategies and protocols for consistent communication and stick to them.
- Implement strategies for *Working Effectively with Multiple Sites*.
- Determine ways all personnel can meet at a single location for beginning, mid-year and end-of-year activities. Make sure you put/have funding for these meetings in your budget.
- Conduct at least one formal site visit and informal site visits as needed.
- Conduct periodic training and team building activities for site supervisors.
- Review Tribal Directors Manual, "Multi-Site Management Strategies Chapter 12-39.

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Resource

Resource Description Contact **Strategies for Successful Multi-site Management (NWREL**)
This brief article provides additional suggestions in building strong relationships and celebrating accomplishments.
http://www.nwrel.org/ecc/americorps/newsletter/sum1999/article2.html

Managing multiple sites and developing esprit de corps
This article is written by practitioners and identifies concrete approaches to address challenges in three areas: Site Supervisors, National Training, and Site Visits. This article is geared for national direct programs.
www.nationalserviceresources.org/epicenter/index.php

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Community & Site Partnerships: **(4-6 Months)**

Much of the success of your AmeriCorps program relies on the strength of your relationships with Service Sites and other community partners. Your role in these partnerships includes several elements. First, you want to ensure that your AmeriCorps members are engaged in productive service. Second, you want to determine whether on-site member development activities are taking place along with appropriate supervision and support. Third, you want to identify whether the Service Site is maintaining appropriate and accurate records. Finally, you want to determine what training or supports are needed by community partners to sustain the relationship. This section will prepare you to fulfill your role.

Key Points:

- Plan and conduct a site monitoring visit to assess the strengths and needs of your subgrantees or service sites.

Site Monitoring Visit

What is a Site Monitoring Visit?
A site monitoring visit is a physical visit to an operating placement, host, or service site to observe firsthand the work, the challenges, the successes, and the "big picture" of your partners who often may be some distance from the your tribe.

Why should you conduct a Site Monitoring Visit?
There are three key reasons to conduct site visits. First, you want to ensure that Corps members are receiving and providing the services the service site partner has agreed to provide. Second, a visit can provide needed support and guidance to sites that are struggling and need timely support. Third, as mentioned above, an in-person visit helps you get a feel for the experiences of this particular site, the members, and the community they serve.

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How do you do it?

- Review the *Four Types of Site Visits*. Consider which type of site visit you want to complete.
- Send or provide the service site partner with a copy of the site visit schedule. Review and implement *Site Visit Procedures* and the *Checklist for an Ideal Site Visit* tools.
- Provide a copy of the *Desk Audit Form* well in advance of the visit.
- Where appropriate use the *Member Files Desk Audit* tool as a checklist of what is supposed to be in the Corps member files.
- Review a random sampling of Corps member files. Physically check the contents of the file using the Member Files Desk Audit tool. Site visits are not punitive. Be open and transparent about the process.
- Conduct visits regularly or base your visits on a risk assessment of the tribe.
- Review your completed Site Monitoring Form with the service site partner staff.
- Provide sites with *Site Satisfaction* and the *AmeriCorps Site Satisfaction Survey* tools to use to reflect on effective practices. These tools can be helpful in discussing areas of strength and improvement.
- Clarify and monitor follow-up actions (compliance issues, staff skill enhancement, etc.) to be taken on the part of the Service site.

Frequently Asked Questions

How many times should I visit a site during the program year? *Every site merits in-person attention. If your budget or staffing levels permit, at least one site visit per site is recommended. Some sites may need more visits and more technical assistance from you than other sites. In cases where sites need a great deal of support, also consider providing it through desk audits, email, phone and fax communications in addition to the in-person visits.*

Who should be involved from my tribe in the site-monitoring visit? *Certainly someone familiar with the compliance and regulatory issues of the grant should make the on-site visits. Additionally, someone skilled in program management, financial management systems, supervision, and community service would be welcomed as a qualified monitor and provider of technical assistance.*

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Who should be involved from the Service Site in the site-monitoring visit? *The person(s) responsible for site management, fiscal management, and direct supervision of the AmeriCorps members should be involved. Depending on the purpose and type of site visit it may be appropriate to hear from AmeriCorps members, senior management, board members, community members, or clients.*

Resources

Resource Description Contact **Handbook for Continuous Improvement, 1994**
Site Visit Tools and Practices www.nationalserviceresources.org
pp. 1-5 and sample formats, 6-19

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D. Member Development and Support: (Foundation)

You are well on your way in the process of identifying and implementing the systems necessary to operate your program. A significant component of your program will be the AmeriCorps members you recruit and train to serve your local community.

Recruiting great AmeriCorps members whose personal values reflect the ethic of service can make the difference between a strong, productive service to the community and a program struggling with the challenges of attrition and ineffective service. The results of your recruitment process will directly impact several areas, including morale, motivation, respect, retention, quality of service projects, relationships with service partners and community members, funding, and your ability to focus on the program rather than spend the majority of your time addressing problems. This section and the ones that follow on Member Development and Support will guide you in recruiting and training a strong Corps.

Key Points:

- Create and implement an AmeriCorps member recruitment plan.
- Register your tribe in the WBRS system.
- Establish an annual member training and support plan.

Member Recruitment Plan

What is a Member Recruitment Plan? A Corps member recruitment plan is a strategic and purposeful roadmap to identify and recruit people best suited for your program.

Why do you need a Member Recruitment Plan? AmeriCorps members are a key component of an effective and successful program. Member recruitment is a very involved process that requires tribal resources, creative ideas, footwork, monitoring, and follow-up. Some recruitment strategies will work; others will not. The more time and effort you put into your recruitment plan, the more likely you are to find and retain great members.

NOTES:

How do you do it?

- ❑ Develop a set of recruitment criteria with your service sites. What skills, qualities, and attributes does a person need? When will members start? Where will they be placed?
- ❑ Consider these questions when developing your recruitment plan. Also checkout the *Recruitment Start up Checklist*.

  - **What** are the specific activities AmeriCorps members may be engaged in?
  - **What** are the "essential functions" of each member position? (see Creating an Inclusive Environment at:
  - http://www.nationalserviceresources.org/resources/online_pubs/index.php#disability
  - **Why** would anyone, regardless of background, (dis)ability, race ethnicity, gender, and the like, want to join our AmeriCorps program? *(Consider the intangible or experiential benefits of the program. Then consider tangible benefits including stipend, education award, training, and life preparation.)*
  - **Where** (or at what kinds of events, establishments, institutions, civic and social societies, and other natural points of contact) can we reach out to potential AmeriCorps members to join our program?

- ❑ Identify potential recruitment opportunities, activities, and events. See *Recruitment Ideas*.
- ❑ Ensure that your recruitment materials, efforts and activities reflect your fully inclusive program environment, not only because it is the law, but also because as a national service program, you are committed to providing opportunities for *all* Americans to serve, including Americans with disabilities.
- ❑ Calculate the budget costs for publications, recruitment events, or other needs.
- ❑ Engage your Service Site partners in the process of developing the recruitment plan and assisting or recommending potential AmeriCorps members.
- ❑ Actively involve your Service Site partners in the Corps member interview and selection process.
- ❑ Engage your Service Site partners and other stakeholders in recruiting and recommending potential AmeriCorps members.

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- ❑ Actively involve your Service Site partners in the Corps member interview and selection process.
- ❑ In addition to keeping each original signed member enrollment form on file, you must enroll all members in the Corporation's Web-Based Reporting System (WBRS) shortly after they begin service. Identify the person(s) responsible for maintaining and entering all member information. This is particularly important if you do not have a Human Resources department.
- ❑ Consider these questions when developing your recruitment plan. Also refer to the *Recruitment Start up Checklist*.

  - **What** are the specific activities AmeriCorps members may be doing?
  - **What** are the "essential functions" of each member position? (see Creating an Inclusive Environment at http://www.nationalserviceresources.org/resources/online_pubs/index.php#disability)
  - **Why** would anyone, regardless of background, (dis)ability, race ethnicity, gender and the like want to join our AmeriCorps program? *(Consider the intangible or experiential benefits of the program. Then consider tangible benefits including stipend, education award, training, and life preparation.)*
  - **Where** (or at what kinds of events, establishments, institutions, civic and social societies, and other natural points of contact) can we reach out to potential AmeriCorps members to join our program?
- ❑ Identify potential recruitment opportunities, activities, and events. See *Recruitment Ideas*.
- ❑ Ensure that your recruitment materials, efforts and activities reflect your fully inclusive program environment, not only because it is the law, but also because as a national service program, you are committed to providing opportunities for *all* Americans to serve, including Americans with disabilities.
- ❑ Calculate the budget costs for publications, recruitment events, or other needs.
- ❑ Engage your Service Site partners in the process of developing the recruitment plan and assisting or recommending potential AmeriCorps members.
- ❑ Actively involve your Service Site partners in the Corps member interview and selection process.

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- Use the AmeriCorps online Recruitment and Placement System (AC*RPS) to promote your program, identify prospective members, and offer them the opportunity to apply online.
- Create a member position description including the, skills, essential functions, duties and responsibilities for the term of service.
- Prepare every staff member with a recruitment packet. Encourage staff to be "roving" recruiters. Everyone in your tribe should be "on message." This means that everyone should be able to articulate your inclusion policy and say succinctly what your tribe does, how it has been successful, and what members will do to serve their community.
- Take into consideration the demographics of the community you serve. How will those demographics be represented in your group of Corps members?
- Cast your net widely. Think outside the box. Research traditional and nontraditional recruitment resources. Be mindful of where you recruit. Not every recruitment option will gain you the best people for your program.
- Consider nontraditional recruitment sources: *Fraternities and sororities, religious institutions, community celebrations, musical events, ethnic festivals, community businesses, small businesses, recreation centers, sporting events, civic organizations (Elks, Masons, Eastern Stars, Junior League, Jaycees), and education and technical institutes*
- Consider the needs or motivations of potential members. Is your tribe prepared to support those needs?

Resources

Resource Description Contact **Web Based Reporting System (WBRS)**
An internet based database used to input and track information among AmeriCorps sites, programs, State Commissions, National Directs, and the Corporation.

***All Corps member paper forms, FSRs, PERs, and Progress Report information are entered into the WBRS.*

State Commission CNCS Program Officer

NOTES:

National Service Resource Center
Great source for diverse resources and ideas. Check out the section on Program Management and Recruitment. http://www.nationalserviceresources.org

AmeriCorps Member Recruitment Manual
Provides hands-on, real-life advice on how to run a successful recruitment campaign. http://www.americorps.org/pdf/resources/recruitment.pdf

AmeriCorps website
The website contains recruitment ads that can be localized, AmeriCorps member applications, information on obtaining AmeriCorps promotional materials, and other helpful information. http://www.americorps.org/resources/recruitment.html

Catholic Volunteer Services of America
Develop a member recruitment checklist. http://www.cnvs.org/am-tr3b1.htm

Planning your Recruitment Process
The abbreviated version of this article is included in Tools for Success. www.nationalserviceresources.org/epicenter/index.php

AmeriCorps online Recruitment and Placement System (AC*RPS)
Allows prospective members to search for AmeriCorps programs nationwide and apply directly online. https://recruit.cns.gov

AmeriCorps online Recruitment and Placement System Users Manual
A step-by-step manual for getting your program listed and using the online Recruitment and Placement System. http://www.americorps.org/resources

Talking about AmeriCorps
Provides information on how to talk about AmeriCorps. www.americorps.org/pdf/resources/talking2.pdf

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Creating an Inclusive Environment: A Handbook for the Inclusion of People with Disabilities in National and Community Service Programs

A comprehensive handbook designed to assist national service programs to fully and meaningfully include individuals with disabilities.
http://www.nationalserviceresources.org/resources/online_pubs/index.php#disability

Member Administration Plan

What is a Member Administration Plan?
A Member Administration plan is the systematic preparation for enrolling members and maintaining their individual records. As the recruitment process for AmeriCorps candidates gets underway, your tribe needs to implement this plan to accurately enroll members.

Why do you need a Member Administration Plan?
It is all about the paperwork! There is a significant amount of documentation and paperwork needed for each Corps member. Along with the paperwork, the WBRS system (on-line database to track AmeriCorps program information) needs to be updated. Outlining a list of tasks that need to be accomplished, adding a timeline, and identifying responsible persons to complete tasks are necessary elements of your plan.

How do you do it?
- Identify the person(s) responsible for completing and entering all member information. This is particularly important if you do not have a Human Resources department.
- Contact your State Commission or Corporation Program Officer for information on training and WBRS access.
- Ensure that you have sufficient quantities of forms in case of mistakes or misplaced documents.
- Set up individual member file folders. Include all forms needed for each member and a *Member File Checklist (Tribal Directors Manual Chapter 5-1)* and *Member Timesheet* that identifies completed forms and other documents in member's file. (See Chapter 5 of Tribal Directors Manual for overview and samples of all forms that are to be included in member files.

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Resources

***Resource Description Contact* Web Based Reporting System (WBRS)**
An internet based database used to input and track information among AmeriCorps sites, programs, State Commissions, National Directs, and the Corporation.

***All Corps member paper forms, FSRs, PERs, and Progress Report information are entered into the WBRS.*

CNCS Program Officer

EpiCenter – Effective Practices
Great source for diverse resources and ideas.
http://www.nationalserviceresources.org/epicenter

Member Training and Support Plan

What is a Member Training and Support Plan?
A member training and support plan is a detailed strategy for how you will orient, train, supervise and contribute to the development of your members throughout the program year.

Why do you need a Member Training and Support Plan?
The three pillars of your AmeriCorps program are community service, community strengthening, and member development. They are equally important. A member training and support plan is instrumental in meeting all of the objectives of your program, developing esprit de corps among members, enhancing the personal development of each member, improving retention, and contributing to the eventual successful outcome of your program year.

How do you do it?
According to Mosaica (www.mosaica.org) -The Center for Non-profit development and Pluralism's "Planning for a Year of Training and Development," there are seven steps to consider when planning your member training and support plan:

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1. **Assess the training needs of your members** – Conduct a needs assessment of your members. Gather information from the members, their service sites, and other programs similar to yours. Assess the members' knowledge and skill levels; ask them what they would like to get out of their term of service. Consider questionnaires and surveys, focus groups, and one-on-one interviews that can prove helpful. Review Chapter 11 of Tribal Directors Manual: member orientation, starting strong, affiliation, teambuilding, administration knowledge and general cross cutting knowledge and skills.

2. **Determine desired training outcomes and topics** – Based on your needs assessment results, decide what types of training sessions and other formats would help you achieve the desired outcomes identified for each member and the team as a whole. Include skills building training (general and service specific) and teambuilding and interpersonal skills. Consider group processing skills, consensus building, conflict resolution, and other problem solving strategies. Training related to community relations, disaster response, advocacy, leadership, and citizenship can supplement other post-service skills such as resume writing and job-seeking skills. Review Chapter 11-5 of the Tribal Directors Manual: member orientation information assessment form.

3. **Decide the number and frequency of your training sessions** – The make-up of your program will influence the number and frequency of your training sessions. How often are my members in the same place? What training schedule will least interfere with the needs of the program and the service sites? What training topics make sense at which part of the service year? What additional opportunities and availability will influence the schedule? The care taken in planning and the tone set by program management will go a long way in determining how much the members value your training schedule.

4. **Program your training sessions and outline content** – Decide on the logical order for presenting topics. Are there topics that members will need early in their service? Gain input from key individuals including members, partners, and tribe staff when devising content. Assign responsibility for developing training sessions; agree on a process and timeline for

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preparation and review. Be certain to consider concepts such as individual learning styles, training objectives and outcomes. Plan carefully, but be aware that you may have to modify your plan at some point.

5. **Identify trainers and presenters and work with them to develop each session**- It is essential to determine whether trainers (internal or external) will be good fits for the topics, the learners, and the outcomes you desire. Involve the trainers in the planning process and provide them with enough background so they are familiar with national service, the audience, and your goals. When seeking trainers consider associates in your agency, existing and former staff, AmeriCorps alumni, your service partners and their agencies, educational institutions, community service tribes, and the business community. Your current corps of members may also have individuals who possess the skills and knowledge needed to address training needs identified in your plan.

6. **Identify needed materials, training facilities, and other resources** – Your program training needs are probably familiar needs that have been previously addressed elsewhere in the national service family. Utilize the already-developed resources available to AmeriCorps programs and adapt and modify where needed. Sources for such materials could include other AmeriCorps programs, State Commissions and parent tribes, program partners, information clearing houses dedicated to national service, libraries, the Internet, the Corporation for National and Community Service, and public and private agencies related to your issue areas or training topics. For training facilities consider partner tribes, houses of worship facilities, national and state parks, business partners, local libraries, community centers, non-profit tribes, and other low cost or no cost alternatives. Providing food or snacks for your members can make the training sessions positive experiences. Remember, “An army moves on its stomach!” Build the cost of such expenses into your training plan. In-kind donations from your tribe or another tribe can be “win-win” for all parties involved. Attention to detail in the area of logistics can pay off in effective training for your members.

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7. **Document and evaluate your training efforts** – Evaluate all training sessions immediately after the session and again, later, when members are able to put a training session in perspective with the entirety of their service experience. Keep careful notes of your planning process and keep files of all materials and pertinent information to help when planning next. Meet with your planning team and provide feedback to them and the trainers you used. This continuous improvement effort will benefit your program.

Resources

Review Chapter 11 of Tribal Directors Manual for Outlines, charts, and sample training outlines, topics, etc.

***Resource Description Contact* Training Briefs**
A series of briefs on a variety of topics related to the design and delivery of training for members. www.nationalserviceresources.org

The Resource Connection, Vol. 5, No. 3, Fall 2001
A newsletter that focuses on training of members.
www.nationalserviceresources.org

Starting Strong: A Guide to Pre-Service Training
A detailed guide of information about the design and delivery of training for members including actual training modules. www.nationalserviceresources.org

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Member Development and Support: **(0-3 Months)**

You are well on your way in the process of identifying and implementing the systems necessary to operate your program. A significant component of your program will be the AmeriCorps members you recruit and train to serve your local community. Recruiting great AmeriCorps members whose personal values reflect the ethic of service can make the difference between a strong, productive service to the community and a program struggling with the challenges of attrition and ineffective service. This section and the ones to follow on Member Development and Support will guide you in recruiting and training a strong Corps.

Key Points:

- Develop or adapt the AmeriCorps member contract.
- Interview, select, and enroll your AmeriCorps members.

Member Contract

What is a Member Contract?
It is the comprehensive, official document that specifies the obligations and responsibilities of the AmeriCorps member. The member contract states the minimal qualifications, position description, length of service, number of hours for successful completion, requirements, expectations, benefits, grievance procedures, member rights and responsibilities, and other tribal policies. The contract also spells out what the member can expect from the tribe.

Why do we need a Member Contract?
The Member Contract ensures that the member and the tribe have a clear, agreed upon set of expectations and remedies if expectations are not fulfilled.

How do you do it?
- Review the AmeriCorps Grant Provisions to fully understand the obligations inherent in hosting and supervising members.
- Review your tribe's policies and procedures and incorporate into the *AmeriCorps Member Contract* as appropriate.
- Review Tribal Directors Manual Sample Member Contract Chapter 8-3

NOTES:

- Walk prospective Corps members through the contract to ensure each member has a full understanding of her or his rights and responsibilities, and program requirements.
- Prohibited activities outlined in the AmeriCorps Grant Provisions must be included in the contract and reviewed during orientation.
- Include a *Grievance Procedure* in the contract. Again, review this carefully with your prospective members.
- All member documentation is confidential and must be kept in a locked area.
- Conduct Annual Reviews with Staff and Site Supervisors to revise member contract on an annual basis.

Frequently Asked Questions

Can team leaders discipline Corps members? *No. Team leaders provide guidance and direction. The Program Supervisor is the appropriate person to address any issues related to a Corps member's violation of the prohibited activities, program code of conduct, or inappropriate behavior.*

What are the "must include" items to put in the member contract?
***Carefully review the AmeriCorps Grant Provisions to ensure all required elements are in your member contract. The grant provisions include a list of specific items that are to be included in the member contract.*

The following are the critical elements: The minimum number of service hours and other requirements (as developed by the Program) necessary to successfully complete the term of service and to be eligible for the education award, description of acceptable conduct, prohibited activities, requirements under the Drug-Free Workplace Act (41 U.S.C. 701 et seq.), suspension and termination rules, specific circumstances under which a member may be released for cause, position description, and grievance procedures. The contract may also include other program-specific requirements as appropriate.

NOTES:

Member Enrollment

What is the Member Enrollment Process?
Getting members into your program is a basic three-step process. The first two steps, recruitment and selection, were discussed earlier. The final step is the enrollment process. At this point you have received your award and identified potential members. Now you need to make them "official" members of your program.

Why do you need a Member Enrollment Process?
Whether you have five or fifty-five potential AmeriCorps members, you need a careful and detailed process to set up their files, complete all their paperwork and update the WBRS system.

How do you do it?
- Ensure your tribe is officially enrolled in WBRS.
- Ensure a *Member File Checklist* is included in each member's file folder. The member file can be a folder that contains all official documentation related to the member's service. All requirements must be accurate and up-to-date. Check all member files and documentation carefully for accuracy, proper signature, and appropriate and complete data.
- Decide whether the program will have a probationary period and establish a written policy.

This probationary period can be up to 30-days (members must be entered into WBRS within 30-days). If a candidate is entered into WBRS immediately and drops from the program, your member attrition rate will be high and will not reflect well on your tribe. Keep in mind the fiscal considerations associated with enrolling prospective members during a probationary period. Funds spent on individuals during the probationary period cannot come from the AmeriCorps grant.

- An enrollment policy should include a clause about the payment of the living allowance. A tribe can choose to pay the living allowance out of its own budget or to pay no stipend at all until the candidate has completed the probationary period. This policy must be clearly communicated to the candidate.

NOTES:

- All member documentation is confidential and must be kept in a locked area.
- Review with prospective members their needs related to healthcare, accessibility, childcare enrollment, and loan forbearance.
- Complete criminal background checks on members working with children or other vulnerable populations.

Member Interview and Selection Process

What is the Member Interview and Selection Process?
This is a criteria-based process that includes standard questions, scoring rubrics, and tribal collaboration to select Corps members. In many ways, Corps members are community ambassadors as well as community service providers. Therefore, it is imperative to establish a process that selects members with attributes and characteristics that fit well with your tribe and/or the service site.

Why do you need a Member Interview and Selection Process*?*
You need a roadmap to guide you to the best candidates for your program. The process of interviewing candidates and selecting members requires considerable time and focus. To ensure objectivity and thoughtful decisions, you will need to involve at least two or more staff plus the service site partners who will sponsor members.

How do you do it?
- Decide what interviewing techniques/mechanisms the interview and selection committee wants to use. The *Planning Your Recruitment Process* worksheet can provide ideas on conducting interviews. (e.g., will interviews be conducted one-on-one, small group, large group, or using a service activity?)
- Decide how your Service Site Partners, Community Advisory Group members and community stakeholders will be involved in the process.
- Train all interviewers in how to use the interview tools, document responses, and score candidates.
- Recruit for quality, not quantity.
- Verify a candidate's eligibility to be in the program prior to enrollment. See the Program Director Handbook for specifics.

NOTES:

Resources

Resource Description Contact **Using a Team Project to Conduct a Group Interview**
An innovative method to assess a prospective member's ability to work well within a group. The article provides a hands-on, team-based activity to use as a final selection process. www.nationalserviceresources.org/epicenter/

NOTES:

Member Development and Support: **(4-6 Months)**

Member support and development is a process that lasts as long as each member's term of service. It begins in the 0 – 3 months program phase with the recruitment process, selection and support of Service Sites, and the AmeriCorps member training and orientation program. At this stage in your program year, you should continue supporting and developing members through several important activities: a mid-term member evaluation, a staff and member retreat, and a continued focus on Life after AmeriCorps.

Key Points:

- Conduct mid-term evaluations for your AmeriCorps members.
- Design and implement your Life after AmeriCorps curriculum for each member.

Mid-term Member Evaluation

What is a Mid-term Member Evaluation?
A member evaluation is a formal assessment of a member's service performance. It should include a review of the elements of the program that ensure its success.

Member evaluations, at a minimum, should focus on whether the member has completed the required number of hours, whether the member has satisfactorily completed assignments, and whether the member has met other performance criteria that were clearly communicated at the beginning of the term of service.

Member evaluation provides the Program Coordinator and the member with a report of how the member is developing in the program. This evaluation should be considered a 'formal process' and should be documented and placed in the member's file. There are several different models for evaluation that can be implemented as a whole or in part that are explained below.

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Why should you conduct Mid-term Member Evaluations?
As a condition of the grant, a program must conduct and keep a record of at least a mid-term and end-of-term written evaluation of each member's performance. In addition, member evaluations provide an opportunity for improvement. Program Coordinators can assist AmeriCorps members to reach their potential through continuous quality improvement, also known as evaluation.

An evaluation's goal is not to find out what is 'wrong', but rather what is going well and what can 'be improved'. The evaluation can be beneficial if it is reciprocal—that is, the members should be invited to evaluate ***your*** performance and/or the performance of their ***site supervisors*** as it relates to the member's service role.

How do you do it?

- Find out how evaluation is currently conducted in the tribe. Once again, the human resources staff may be able to help on this subject.
- Remember to ask yourself: "What do I need to know about the member's experience to make the program more effective?" List your needs and then find suitable evaluation models and tools to use. See a sample *Member Evaluation* tool.
- Evaluation works well when it is conducted at several different levels. Consider who is being evaluated and who is completing the evaluation when you design your system, and remember you can always improve the system throughout your experience.
- Review sample member performance evaluation "Performance Evaluations (mid term and end of term)" in Tribal Directors Manual 8-19.

Frequently Asked Questions

When should I conduct member evaluations? *AmeriCorps members must be evaluated at least mid-way through their service term and at the end.*

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Resources

Resource Description Contact **National Service Resource Center**
Search on member evaluation for sample tools.
www.nationalserviceresources.org

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Life after AmeriCorps

What is Life after AmeriCorps?
Life after AmeriCorps is the phrase used to describe the intentional developmental efforts used to help corps members to transition from the AmeriCorps experience to the next steps along their life path. Your job is to guide the members through this transition and help them identify opportunities to incorporate their service experience into their next steps. Life after AmeriCorps development is achieved through training, networking, identifying future education and career opportunities, and counseling.

Why should you be concerned with Life after AmeriCorps?
The Life after AmeriCorps aspects of a program help to develop your corps and therefore improve your program's quality, credibility and benefit to the community. It is a required component of all AmeriCorps programs. Because AmeriCorps members come from diverse cultural, educational and socioeconomic backgrounds they also come with many different aspirations. You may find that your team has members who want to go back to school for post-baccalaureate degrees, or members who want to advance in the local community career setting they are in, members who want to attend the local community college and members who are unsure of what they want to do. Your guidance and linking to resources will assist these individuals to make concrete, informed decisions on what direction they want to move in life and how service can be an integral part of it.

How do you do it?
- Guide members in developing resumes and cover letters outlining their AmeriCorps experience and past professional or volunteer experiences.
- Guide members in identifying what they would like to do in the future.
- Provide members opportunities to design and implement trainings and other skill development activities.
- Create a library of information about colleges, universities, and technical schools.
- Make sure all members know how to use the Internet to search for information, access bulletin boards, participate in chat rooms relevant to their future job interests, and so forth.
- Make information about the Education Award available to members.

NOTES:

- Identify individuals in the tribe and the community who may be good mentors or speakers on career and education paths of high interest to members.
- Create ways for members to connect (more than once) with these valuable resources. Do this early in the program!
- Invite guest speakers to talk about career opportunities.
- Be aware of the diversity of your Corps and ensure that activities are appropriate for all. The "Life after AmeriCorps" needs of someone without a high school diploma will differ from a college graduate. Similarly, the needs of a 22-year old will differ from those of a 50-year old.
- Read Ongoing Member Training Section C paragraph b. in the Tribal Directors manual Chapter 11-26 for a minor description of sample "life after AmeriCorps" topics.

Frequently Asked Questions

When should I start planning and doing Life after AmeriCorps activities?
*Ideally, you should pass out the **Next Steps** book the first day of the Pre-Service Orientation. Encourage members to start looking through the book and thinking about how their community service may relate to and impact their future lives and livelihoods.*

My members have many different goals and aspirations. How do I schedule training and/or speakers for such a diverse group without boring some of them or losing their attention?
Normal member training requires all members to attend, so you may want to offer a variety of Life after AmeriCorps activities and make some of them optional or elective. This way, members can sign up for the activities that are of greatest interest to them and pass on others. In addition to providing a series of talks on career opportunities, also explore linking members to outside 'mentors' in career areas that are attractive to them. Arrange for them to spend a half-day "shadowing" a mentor or interviewing 2-3 people in a particular profession. These sorts of activities will provide members with a realistic (vs. idealistic) understanding of their particular profession or technical area of interest. You may also attempt to use members in trainings as panelists on topics like the college experience or as facilitators, so that they can take an active role in the development of other corps members.

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Resources

Resource Description Contact **National Service Resource Center**
Contains a number of Life after AmeriCorps resources.
www.nationalserviceresources.org

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E. Finance and Grants Management: (Foundation)

Whether you are in the process of deciding to apply for an AmeriCorps grant or you simply want to review your systems for a grant you already have, this section helps you identify your strengths and the areas you need to improve in order to comply with the financial requirements of the AmeriCorps program.

Successful operation of your program will depend on your understanding and adherence to the AmeriCorps grant requirements. Compliance requirements are contained in several documents: Corporation regulations, your grant provisions, your notice of grant award, and OMB circulars.

In addition, individual state rules and regulations may apply. Review the *Things to Do Checklist* to guide your work.

As a recipient of federal funds through AmeriCorps, you must comply with all requirements set forth by each source of federal authority. The information provided here will help you enhance your administrative and fiscal operations. Be sure, however, to refer to each source of authority for more details about program requirements.

Key Points:

- Establish and maintain a financial management system in accordance with Generally Acceptable Accounting Practices (GAAP), federal OMB circulars, grant provisions, and tribal policies and procedures.
- Construct and monitor your program's budget.

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Understanding Federal Financial Policy

What are the federal financial policies governing the AmeriCorps grant?
The Office of Management and Budget (OMB) Circulars and the Uniform Administrative requirements published with the Corporation's regulations (45 CFR 2541 through 2543) are the policies that govern and guide you through the successful implementation of the grant and all necessary management systems.

Why do you need to understand federal financial policies?
Federal funds are subject to certain requirements; it is important to be aware of these requirements and follow them. As the Program Director or the Executive Director charged with carrying out the AmeriCorps program, you must have an adequate understanding of the grant provisions, the OMB Circulars and the Uniform Administrative Requirements to ensure that your program is in compliance.

How do you do it?

- Gain a thorough understanding of the AmeriCorps Grant Provisions, and the applicable Office of Management and Budget (OMB) Circulars. Implement all requirements of the Corporation's regulations. See *Summary of OMB Circulars and Code of Federal Regulations.*
- Follow applicable regulations, grant provisions, and OMB Circulars by tribe type. See Tools for Success section for applicable circulars. See *Description of OMB Circulars.*
- *Review Tribal Directors Manual, Financial Section: Chapter 4-1 to 4-18 to become more familiar with cost principles.*

Resources

***Resource Description Contact* OMB Circulars**
Each of the specific OMB Circulars can be downloaded from the Internet.
www.whitehouse.gov/omb/circulars/index.html

Code of Federal Regulations
The Code of Federal Regulations (CFR) can be found on the website of the Corporation for National and Community Service.
www.nationalservice.org/resources/about/ogc/index.html

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OMB Circulars and Code of Federal Regulations **Educational Institutions**
Non-Profit Tribes
State & Local Governments
Uniform Administrative Requirements 45 CFR 2543 45 CFR 2543 45 CFR 2541
Cost Principles Circular No. A-21 Circular No. A-122 Circular No. A-102
Audits
Circular No. A-133 Circular No.

Developing an AmeriCorps Budget

What is an AmeriCorps budget?
An AmeriCorps budget is the financial blueprint that allows your AmeriCorps program to operate. It outlines the dollars necessary to address the community's identified needs using community service by AmeriCorps members. You must include your program budget in your grant application.

Why do we need an AmeriCorps budget?
There are three reasons you will develop a budget. First, the prospect of adding or starting an AmeriCorps program involves many financial considerations, decisions, and choices. Second, a budget developed specifically for an AmeriCorps program as part of the program design process can guide you in the overall development of your program. Finally, a budget must be included with your application that addresses your tribe's proposed AmeriCorps program grant request.

How do we do it?
There are many considerations when it comes to developing a budget. All the steps you might need to take to develop a budget for an AmeriCorps program are not discussed here. Each tribe is unique with established policies and procedures that guide operations. Follow your tribal policies, procedures, and processes when developing the AmeriCorps program budget. The information below is intended to be a tool to help guide you through the budget development process and provide useful information to help familiarize you with the inputs and considerations.

NOTES:

- Complete the **Program Design**. This information is crucial to budget development.
- Review the AmeriCorps Grant Application instructions for specific budget information.
- List all the costs necessary to carry out the programmatic activities including program staff, AmeriCorps member and service site partner training, orientation, and supervision, community partnerships and outreach, and service activities. Identify other costs relating to the operational side of your program including occupancy expenses, program and office supplies, travel, and specific costs related to service activities.
- Involve relevant staff and community partners in the process of determining the costs of program and service activities.
- Separately identify direct costs (costs related to the operation of the program) and indirect costs (overall tribal administrative costs). The Corporation limits the amount of administrative costs charged to an AmeriCorps grant to 5%.
- Review Budget Development and Management of the Tribal Directors Manual: Chapter 4-19 to 4- 35. This section includes an overview of developing and maintaining your AmeriCorps budget.

Once you have gathered all necessary information, you can calculate the maximum grant award for which you will be eligible to apply. Once you have completed this calculation, you will have determined the maximum amount of federal funds allowable for an AmeriCorps program of your size.

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Finance and Grants Management: **(0-3 Months)**

You will be very busy with financial and grants management tasks your first three months of operations. Ensure your financial systems are compatible with AmeriCorps requirements. For example, you and your staff will enter new AmeriCorps members into WBRS, receive, verify, and properly file all eligibility documentation for AmeriCorps members, complete necessary reports, and ensure that your program is meeting its cash match requirement. Use this section as a guide for these and other important first steps in the life of your program.

Key Points:

- Learn about completing a monthly budget review.
- Assess whether your tribe is meeting the grant match requirements.
- Identify your financial reporting requirements.
- Ensure you are meeting all your member responsibilities including member enrollment, the maintenance of member records, living allowance, and benefits.

Monthly Budget Review

What is the monthly budget review?
This is a review of the status of your actual expenditures against the funds available (i.e., how much money you have spent as compared to how much funding you have available). This should be done on a monthly basis to make sure that there are sufficient funds available to meet stated goals and objectives. It is also a check on the match portion of the budget to make sure you are on track to fulfilling your match obligation.

Why do you have to review the budget?
There are several reasons you want to periodically review the budget. First, you want to make sure that there are funds available before your tribe spends money. Second, reviewing expenditures ensures that the correct expenses are charged to the account. Third, knowing where funds are spent can assist the executive director or program director to determine whether a budget modification is needed. Finally, the Office of Management and Budget Circulars require that a tribe review the budget to actual expenditures.

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How do you do it?

- Implement a system within your tribe to obtain financial information on a regular basis.
- Establish accounts for individual expenditures by line item with the tribal finance officer.
- Monitor expenditures monthly.
- Establish appropriate account numbers so that both AmeriCorps federal fund and matching funds are reported separately in the accounting system.
- Enter financial information into WBRS. Complete the Monthly Periodic Expense reports in the WBRS system.
- Mandate a financial reports schedule to receive financial information consistently each month.
- Have a list of the budget amendment regulations from the grant provisions available when you are reviewing the actual expenses.

Frequently Asked Questions

When do I need to submit a budget amendment? How do I do it*? The Grantee must obtain the prior written approval of the Corporation's Office of Grants Management before deviating from the approved budget. Budget amendments might include a reallocation of funds from the "member support cost" category to other line items in the approved budget, purchases of equipment over $5,000, and/or changes in the cumulative budget line items that amount to 10% or more of the program budget where the Corporation's share of the grant award is $100,000 or more.*

Are there specific budget amendment rules that I should know? *There are a few budget changes that require special approval from CNCS. If the grant award is over $100,000, the changes requiring approval include: Reallocation of funds from the Member Costs category to other line items, purchases of equipment over $5,000, and specific costs as outlined in the OMB cost circulars. Grant amendments are also required for programmatic changes including: change in scope or goals and objectives, substantial changes in member supervision, and subgrants or contracts not included in the approved budget.*

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Meeting Grant Match Requirements

What is a match requirement?
The match requirement is the percentage of resources (cash or in-kind) that complement the federal grant funds received by your tribe. Match requirements are established by law and policy as a condition of receiving the AmeriCorps grant. In addition, the grant provisions require that the Grantee provide and account for matching funds as agreed upon in the approved application and budget. The match must be documented and verified in the financial records. If you do not believe that you will reach required match level, work with your Grants Officer.

What form can the match be in?
The match for member support costs must be in cash and from non-federal sources. The match for program operating costs can be either cash or in-kind contributions to your program. In-kind match is a non-cash donation of a good or service. In-kind donations have the same documentation requirements as other expenditures. Documentation must be kept to support the value placed on the items. Additionally, staff hours not charged to the grant can be counted toward the match requirement. The documentation for staff hours must be explicitly identified.

Whether the staff is on budget in-kind or is being paid with grant funds, each must have a timesheet that differentiates between AmeriCorps and non-AmeriCorps time. Timesheets must track actual hours served and must be signed by two supervisors.

How do we do it?
- Report the in-kind contribution in the financial system so it is included in financial reports.
- Use the financial system to track match by creating expense and revenue accounts in the general ledger.
- Maintain supporting documentation when placing a monetary value on in-kind donations. The donor provides this supporting documentation.
- Check sub-grantees financial reports to ensure that they are meeting match.
- Review Tribal Directors Manual Chapter on Finance for a review of In-Kind Documentation and sample in-kind forms. Chapter 4-23 to 4-27.

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Resources

Match Forms and Criteria
This information applies to all match requirements, not just operating costs.

Costs Match Source Criteria Member Support Costs
- Non-federal cash
- Programs must meet the grantee share of Member Support Costs during each reporting period.
- The minimum match in this category is described in the grant application.

Program Operating Costs
- Cash and in-kind donations.
- Match is verifiable from Grantee records.
- Match is not included as contributions from any other federally assisted program.
- Match is necessary and reasonable for the proper and efficient accomplishment of program outcomes.
- Match is allowable under applicable cost principles.
- Minimum match for operating costs as described in application guidelines.

Financial Reporting

What are the financial reporting requirements for my grant?
There are two financial reports required by the grant. Grantees submit the Financial Status Report (FSR) which goes to the Corporation. The second report, SF 272, goes to the Department of Health and Human Services. The SF 272 is filed electronically in the Payment Management System. You file this report to identify cash disbursed in the grant. A third report, the Periodic Expense Report (PER) is not a mandatory CNCS report.

Why are these reports important?
There are only two FSR financial reports required each year and it is important to have these accurate and timely. This is the information that CNCS uses to review financial grant activity.

The PMS 272 report is important for HHS to have information about expenses incurred, funds disbursed, and cash on hand. If these reports are not done in a

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timely fashion, you will not be able to draw down funds until HHS has received the information.

How do we do it?

- Establish accounts that provide detailed information on both federal CNCS and grantee match expenditures.
- Perform a monthly reconciliation of the account to ensure that the information is accurate and correct (this will save considerable time when the reports are due).
- Mark the calendar a few weeks before the report is due as a reminder.
- Review financial information monthly to detect incorrect information, so reports can be submitted on a timely basis.
- Establish a system to receive consistent information from your sub-grantees (if applicable).
- Review the table *Financial Reports for the AmeriCorps Grant* for specific information on each financial report.(Table in Start Up Institute Manual p. 198)

Frequently Asked Questions

Financial Reports for the AmeriCorps Grant **Tribe Report Due Date Purpose**
Department of Health and Human Services (HHS) Payment Management System PMS 272 Quarterly basis forty-five days from the end of each quarter HHS serves as the Corporation's banker. This report identifies amounts of cash disbursed by the grantee. It is submitted each quarter.

Corporation for National and Community Service Financial Status Report (FSR) Two reports only.

October 1 – March 31
April 1 – September 30

Due to CNCS 30 days from the end of the reporting period.

FSRs report both federal and grantee expenditures.

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Member Enrollment Responsibilities

What are the Member Enrollment responsibilities?
It is essential to obtain accurate and complete documentation from prospective AmeriCorps members to ensure their eligibility. While program staff are busy recruiting, interviewing, and selecting prospective AmeriCorps members, the Human Resources, Fiscal Department, or persons responsible for these activities in your tribe need to be prepared for the significant paperwork generated as individuals are brought on as members.

Why are Member Enrollment processes important?
Along with ensuring great people are recruited to serve; your tribe must also ensure that each member is eligible, and that the member's information is accurate, documented in paper files, and entered into WBRS. This is a requirement of the grant; member requirements are included in the Grant Provisions which will be formed in the grant regulations. When members are officially enrolled, Educational Awards are put aside for them in the National Service Trust.

How do you do it?
- Review the Member Enrollment section of the Grant Provisions.
- When prospective members are interviewed, inform them of the documentation necessary for eligibility.
- Collect member eligibility documentation prior to a prospective member's first day of service.
- Create a *Member File Checklist* for each member folder so that all information is collected.

See the **Member Development and Support Section.** This folder contains all paper documentation on the member. See Tribal Directors Manual chapter 8-1 for a member file checklist.

- Identify the staff member(s) responsible for reviewing and obtaining missing documents, inputting WBRS information, and maintaining member records.
- Locate a secure place where confidential member records will be maintained.
- Make sure to gather documentation for all members that demonstrates they meet eligibility requirements including:

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  - Citizen of the U.S., U.S National or lawful permanent resident alien.
  - At least 17 years old at the beginning of service or out of school and enrolled in a program that meets specific requirements.
  - Has a high school diploma or will enroll in GED classes during service.
- ❑ Member enrollment information must be reported to CNCS within 30 days through WBRS.
- ❑ See the **Member Development and Support Section** for more information.
- ❑ Perform site visits to sub-grantees and review member files to ensure that sub-grantees are collecting the proper documentation.
- ❑ Ensure all member files are complete prior to issuing the first living allowance check.
- ❑ Review Tribal Directors Manual Chapter 8 for a complete detailed listing with sample forms required for member enrollment.

Frequently Asked Questions

How is bringing an AmeriCorps member into your tribe different from hiring regular staff? *Usually tribes have a standard hiring practice where all employees must complete an I-9 form prior to receiving their first paycheck. A completed I-9 form does not necessarily confirm that an individual is eligible to enroll as an AmeriCorps member, as it covers work authorization rather than eligibility for AmeriCorps. Programs that have relied on I-9 forms have faced the questioning of member costs in audits, simply because an I-9 itself is not necessary evidence of eligibility for AmeriCorps.*

Member Attendance Records

What are member attendance records?
Programs are responsible for keeping track of each member's hours. There must be a time sheet or attendance log that is completed and signed by **both** the member and the supervisor. Even if member hours are tracked electronically, supporting documents must be retained in the member's file.

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Why are member attendance records important?
These are official, certified documents that substantiate the number of service hours completed by a member. This information is necessary for members to receive their educational award.

How do you do it?

- Create a system to track members' time that has the capability to document service hours and training hours. At least 80% of AmeriCorps members' hours must be direct service and no more than 20% of AmeriCorps members' hours can be spent on training.
- Review your AmeriCorps Grant Provisions for more specific details. For a sample Member Tracking Timesheet of hours, see Tribal Directors Manual Chapter 8-17.
- Ensure AmeriCorps members have opportunities to make up service hours for sick time or holiday time. Only count time served – do not include vacations or holiday time.
- Make sure time sheets are authorized (signed) by the members' supervisor.
- Keep accurate records on members' hours served; be sure to double check math on time reported.
- Provide members a monthly update on their progress of hours towards completion.

Frequently Asked Questions

If I enter member hours into WBRS, do I still have to keep their timesheets on file? *Definitely. You must retain member time sheets in the member's file. Without these records, the members cannot receive their educational award.*

Do members complete the same timesheet as staff? *No. Members should not complete the same timesheet as staff. You will need to create a different timesheet for AmeriCorps members. Be sure that you are tracking training and service hours, in addition to total member hours.*

How do I account for holidays and sick time? *Members accumulate hours only for time that they are providing service, preparing for service, or training for service. They do not accumulate sick time or get credit for holidays.*

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Member Living Allowance

What is the member living allowance?
Some AmeriCorps members receive a financial stipend or living allowance for their service and participation in the AmeriCorps program. It is important to understand that the living allowance is not based on an hourly rate or annual salary. Members "serve" they do not "work." They are part of an "AmeriCorps program" not a "job." They receive a "stipend" or "living allowance" not an "hourly wage". The stipend is a fixed amount provided to active members.

Tribal Programs: Meet with your Tribal Finance and/or Personnel Department to explain how the stipend is different then a wage. Some departments have programs submit the same amount of hours per pay period in order to generate a "stipend check" with the same amount from pay period to pay period (your service hours should be tracked separately if this is the case). Members may need to be classified as volunteers (or contract) or some other sort of employee classification in order to be paid a stipend instead of a wage. At a minimum, have an understanding with your finance and personnel department on how to handle the processing of stipend checks. Many tribal departments do not differentiate between a stipend and hourly wage and don't understand how members can always get the same amount of stipend when their service hours vary over a pay-period. Getting this process clarified, preferably in writing, before members begin serving can save complications later.

How do you do it?
- Ensure that a section of the member contract states the living allowance, term of service, and amount distributed per pay period.
- Set and discuss policies concerning the number of hours members are required to serve.
- Check to see that the living allowance is within the required range.
- Correctly calculate member living allowances to be evenly distributed over term of service.
- Make sure that the living allowance is not paid based on hours worked in a pay period.
- Have members complete a W-4 form.

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Frequently Asked Questions

How much is the member living allowance? *The allowable living allowance range can be found in the AmeriCorps guidelines. If your members will be paid a living allowance, the amount can be found in your program budget.*

How do I distribute the member living allowance? *To determine the living allowance, divide the number of weeks, months, or pay periods by the program cycle. This will enable you to ensure that the living allowance is consistently distributed and not based on hours served in a pay period. This amount should be paid equally over the member's term of service, regardless of the number of hours served in a given pay period. This ensures that the member earns the entire living allowance if she or he successfully completes the program.*

What about withholding and other tax liability issues that may affect the payment of the AmeriCorps living allowance? *The living allowance is subject to FICA, state, and federal tax withholdings. Members should complete an annual W-4 form. In some states, the living allowance is subject to unemployment insurance. Check with your State Commission or State Labor Department to determine if unemployment tax must also be paid.*

If a member serves only ten hours, rather than 40 hours, in one week, does that member still receive the entire living allowance? *Yes, a member's living allowance is not based on an hourly rate or the number of hours spent in service each week. Members are not paid while on suspension, however. If a member is missing a significant number of hours due to sickness or other reasons you might consider suspending her or his term of service until she or he is able to return to service. The living allowance cannot be withheld as long as a member is actively enrolled in the program. A member who misses a significant number of hours must meet the requirements of the contract in order to successfully complete her or his service year.*

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Member Benefits

What benefits are AmeriCorps Members eligible for?
Full-time AmeriCorps members are eligible for the education award, health care and childcare. You may choose whether to provide benefits to part time members. The health insurance plan must meet specific requirements and there are cost limitations imposed by CNCS. Childcare benefits are secured through an authorized CNCS provider.

How do we do it?

- The National Association of Child Care Resource and Referral Agencies (NACCRRA) manages CNCS's childcare benefits program.
- If you have full-time AmeriCorps members, secure a health insurance provider. Check with other AmeriCorps programs in your state for recommendations on health insurance providers.
- Explain to AmeriCorps members what benefits are in the health care plan and how to access coverage.
- Be clear about members' benefits in the Member Contract.
- Include a section in your member orientation to describe member benefits and how to access them.
- Create a handout for Members that describes their benefits and provides contact numbers.
- For a brief overview of member support costs see the Tribal Directors Manual chapter 4-32.

Frequently Asked Questions

I have a health benefits plan for current employees. Are members eligible for the same benefits? *Full-time members are eligible for health insurance. There are certain requirements for benefit plans, as well as, allowable cost limitations to the grant. Plans costing more than $150 per member per month must be approved by CNCS. Be sure to review the Grant Provisions for specific information.*

How are member benefits different from staff benefits? *A member's health benefits policy must meet specific requirements as provided in the AmeriCorps*

NOTES:

Grant Provisions. Other employee benefits such as dental, life insurance, and retirement are not allowable costs for members on the AmeriCorps grant.

Are all AmeriCorps members eligible for benefits? *Full-time members are eligible for benefits. Part-time members can also receive benefits as long as the costs of the benefits are not paid for from the CNCS grant.*

Is there a cost-share or co-pay for the members to pay for part of the cost of health insurance? *Sometimes. It depends on the health insurance provider. The Corporation allows 85% of the member costs to be paid for with federal CNCS funds and requires a 15% match for all of the costs in the member Support Cost category.*

Does CNCS recommend any particular health insurance plan/s? *No. There are a few insurance plans that are commonly used by AmeriCorps programs because they are cost effective and meet the requirements. However, the choice of insurance provider is up to the grantee. Make sure to check the grant provisions for the specific plan requirements and cost limitations.*

NOTES:

F. TRIBAL AMERICORPS PROGRAMS START-UP CHECKLIST

PROGRAM DIRECTORS

- Program Agreement Form signed and returned to the program director.
- AmeriCorps Member Roster by Site Form completed and returned to the program director.
- Placement Site Description/Member Position Description Form completed and returned to the program director.
- Member File Established
- Grievance procedure is put into effect for all AmeriCorps Members, if it is not already in place, within 90 days of signing the Program Agreement.
- A Drug and Alcohol Free Workplace Policy is put into effect, if it is not already in place, within 90 days of signing the Program Agreement.
- An AmeriCorps sign is posted at the program office.
- Members receive AmeriCorps orientation.
- Orientation materials collected and returned to program director.
- Member Loan Forbearance Requests compiled and sent to the National Service Trust.

SITE SUPERVISORS

- Site Supervisor Contract signed and returned to the program director.
- Program Director provided with Placement Site Description/Member Position Descriptions.
- Program Director provided with completed Member Roster by Site Form.
- Site Supervisor handbook has been read.
- An AmeriCorps sign is posted at the site.
- Monitor service hours and activities.

NOTES:

AMERICORPS MEMBERS

- Corporation for National and Community Service Enrollment Form completed, signed and returned to Program Director.
- Member Contract signed and returned to program director.
- Loan Forbearance Request completed (if applicable) and returned to Program Director.
- Civic Responsibility Tool completed and returned to Program Director.
- Members receive an AmeriCorps orientation.
- Members receive placement site and position descriptions.
- Members receive AmeriCorps service gear.

GENERAL

Members and Site Supervisors understand service hour requirements and how to use time and activity log.

NOTES:

G. MODEL GRIEVANCE PROCEDURE

For AmeriCorps State/National Programs

This model is provided to programs as a guide only, and combines provisions *that are required by law with optional elements*.

In the event that informal efforts to resolve disputes are unsuccessful, AmeriCorps members, labor unions, and other interested individuals may seek resolution through the following grievance procedures. These procedures are intended to apply to service related issues, such as assignments, evaluations, suspension, or release for cause. In addition, individuals who are not selected as AmeriCorps members or labor unions alleging displacement of employees or duplication of activities by AmeriCorps may utilize these procedures.

1. Optional Alternative Dispute Resolution (ADR)

The program may choose to include ADR as a first option for an aggrieved party. ADR includes mediation or conciliation. This section assumes that the program has chosen to make ADR available.

ADR is available, but must be selected within 45 days of the underlying dispute. If a member chooses ADR as a first option, a neutral party designated by the program will attempt to facilitate a mutually agreeable resolution. The neutral party must not have participated in any previous decisions concerning the issue in the dispute. ADR is confidential, non-binding, and informal. No communications or proceedings of ADR may be referred to at the grievance hearing or arbitration stages. The neutral party may not participate in subsequent proceedings.

If ADR is chosen by the member, the deadlines for convening a hearing and for a hearing decision, 30 and 60 days respectively, are held in abeyance until the conclusion of ADR.

At the initial session of ADR, the neutral party must provide written notice to the aggrieved party of his or her right to request a hearing. If ADR does not resolve the matter within 30 calendar days, the neutral party must again notify the aggrieved party of his or her right to request a hearing. At any time, the aggrieved party may decline ADR and proceed directly to the hearing process.

2. Grievance Hearing

A member may request a grievance hearing without participating in ADR, or, if ADR is selected, if it fails to facilitate a mutually agreeable resolution. The member should make a written request for a hearing to the designated program supervisor or director. A request for a hearing must be made within one year after the date of the alleged occurrence. At the time a request for a hearing is made, the program should make available to the member information that it relied upon in its disciplinary decision.

The program will arrange for one or more pre-hearing conferences at a time mutually convenient to the parties. Pre-hearing conferences are not a substitute for a hearing. They are intended to facilitate a mutually agreeable resolution of the matter to make a hearing unnecessary or to narrow the issues to be decided at the hearing. The format of the pre-hearing conference may be flexible, involving meetings with one party at a time and/or with both parties together. Pre-hearing conferences are conducted by [program supervisor/director A].

The hearing will be conducted by [program supervisor/director B]. The person conducting the hearing may not have participated in any previous decisions concerning the issue in dispute. (Note: To ensure impartiality in the hearing, programs may choose to designate someone other than the program director to approve disciplinary actions regarding members, leaving the director available to conduct grievance hearings.) A hearing must be held no later than 30 calendar days after the filing of the grievance, and a written decision must be made no later than 60 calendar days after filing.

3. Binding Arbitration

An aggrieved party may request binding arbitration if a grievance hearing decision is adverse or if no decision is made within 60 days of the filing of the grievance. The arbitrator must be independent and selected by agreement of the parties. If the parties cannot agree on an arbitrator, the Corporation's Chief Executive Officer will appoint one within 15 calendar days after receiving a request from one of the parties.

An arbitration proceeding will be held no later than 45 calendar days after the request for arbitration, or no later than 30 calendar days after the appointment of an arbitrator by the Corporation's CEO. An arbitration decision will be made no later than 30 calendar days after the commencement of the arbitration proceeding.

The cost of arbitration will be divided evenly between the parties, unless the aggrieved party prevails, in which case the program will pay the total cost of the proceeding as well as the prevailing party's attorneys' fees.

H. SAMPLE DRUG AND ALCOHOL ABUSE POLICY

_____ AmeriCorps Program.
Name of Organization Here

1. *Drug-related Offenses on* _____***AmeriCorps Program*** *Property*. Pursuant to the Drug-Free Workplace Act of 1988, employees are prohibited from unlawfully manufacturing, distributing, dispensing, possessing or using a controlled substance in the workplace. As further required under the Drug-Free Workplace Act, an employee, as a condition of employment with _____**AmeriCorps Program**, must notify _____**AmeriCorps Program** if she or he is convicted of any criminal drug statute violation occurring in the workplace no later than five days after the conviction.

2. *Alcoholic Beverages on* _____***AmeriCorps Program*** *Property*. Consumption of alcoholic beverages on _____**AmeriCorps Program** property is prohibited except at _____**AmeriCorps Program** -sponsored social events.

3. *Drug and Alcohol Use Of* _____***AmeriCorps Program*** *Property*. Unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance, and excessive use of alcohol that may adversely affect an employee's job performance or that may reflect unfavorably upon public or governmental confidence in the manner in which _____**AmeriCorps Program** carries out its activities, is prohibited.

4. *Employee Assistance*. Assistance in dealing with drug and alcohol abuse is available through _____**AmeriCorps Program**. _____**AmeriCorps Program's** health insurance also provides coverage of certain expenses associated with the treatment of drug and alcohol addiction.

5. *Disciplinary Action*. Failure to adhere to this policy may result in disciplinary action, including termination.

SAMPLE PROHIBITED ACTIVITIES FOR AMERICORPS MEMBERS*

- Participating in efforts to influence legislation, including lobbying for your program.
- Organizing a letter-writing campaign to Congress.
- Engaging in partisan political activities or other activities designed to influence the outcome of an election to any public office.
- Participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials.
- Printing politically charged articles in a Corporation-funded newsletter or listserv.
- Taking part in political demonstrations or rallies.
- Engaging in any efforts to influence legislation, including state or local ballot initiatives.
- Voter registration drives.
- Organizing or participating in protests, petitions, boycotts, or strikes.
- Assisting or deterring union organizing.
- Impairing existing contracts or collective bargaining agreements.
- Religious activities, including engaging in religious instruction,; conducting worship services, providing instruction as part of a Program that includes mandatory religious instruction or worship, constructing or operating facilities devoted to religious instruction or worship, maintaining facilities primarily or inherently devoted to religious instruction or worship, or engaging in any form of religious proselytization.
- Activities that pose a significant safety risk to participants.
- Assignments that displace employees.
- Placement of members into internships with for-profit businesses as part of the education and training component of the program.
- Providing assistance to a business organized for profit.
- Fundraising, including preparing grant proposals, performing other fund raising activities to support an organization's general operating expenses, and providing fund raising assistance to other community-based organizations that do not provide immediate and direct support to a member's approved direct service activity. (Service activities that raise funds or in-kind contributions while generating, involving and/or encouraging community support may be considered appropriate and allowable, such as serve-a-thons,

to the extent they are in direct and immediate support of an acceptable direct service and provided that they are not the Program's primary activity or involve significant amounts of an individuals member's time.)

- Administrative work, unless it benefits the member's approved direct service activities.

** However, AmeriCorps members, like private citizens, may participate in lobbying, political, or advocacy activities on their own time, at their own expense, and at their own initiative. Members may not wear AmeriCorps service gear in such instances.*

I. SAMPLE ALLOWABLE ACTIVITIES

_____AmeriCorps Program
(name of organization here)

Allowable Activities: how to know
After reading the list of prohibited activities there may still be questions about what kind of service work can be credited to AmeriCorps hours.

The most important piece of information to relay to the members is that at least 80% of their time must be spent doing direct service and the other 20% can be credited to education and/or training that they receive that relates to their work or to AmeriCorps.

Direct service is work that addresses human need, the environment, public safety, and/or education in one form or another. It is working directly with people to make change, or doing work that is involved in making that direct change. It can be outreach, case management, training, teaching, tutoring, mediating, cleaning, counseling, recruiting volunteers, catching up on paperwork related to clients, preparing for class, coaching, listening, cooking, serving, providing health care, food, clothing, and on and on… Direct service hours should constitute 80% or more of an AmeriCorps member's total hours served. The remainder will be *indirect* service hours.

Indirect service hours, or education and training, hours are only applicable when they reflect the AmeriCorps service that the member credits to the education award s/he will receive. Any on the job training that refers to direct service would be part of this category. All orientations, including the AmeriCorps orientation, would be included, as well as any state or regional trainings, seminars, or workshops pertaining to issues related to direct service. Examples would be conflict resolution seminars, teacher development days, team-building exercises or a class on training techniques. Only 20% of the entire member's credited service hours can be dedicated to education and training, even if more hours have been spent in this area.

All AmeriCorps service activities will take place in the United States or U.S. territories only.

Any activities that are not applicable to a member's education award hours are listed on the Prohibited Activities sheet. The hours that a member may spend doing those activities should not be recorded. For instance, if a member is teaching six classes a day and two of those are religion, only the four other classes (let's say in math, English, history and science) would be acceptable to record on her/his weekly tracking tool, and ultimately on her/his quarterly report.

Any member questions should be directed to program directors. Program Director's questions can addressed to the _____ staff at _____.

Member Management
Recruitment and Retention

Obstacle	Possible Indicators	Solutions	Comments/Clarification
1. Late enrollees – enrolling people at different times (ongoing enrollment).	➢ Lack of team cohesion. ➢ Feedback from CNCS.	➢ Plan ahead – schedule make-up training's.	
2. Burnout.	➢ Poor attendance.	➢ Recognition ceremonies. ➢ Food. ➢ Appreciation.	
3. Wrong reasons for joining a program.	➢ Poor attitude and/or work ethics. ➢ Poor attendance. ➢ Court ordered.	➢ Giving as much into as possible during interviews. ➢ Give Corps members a chance to talk to those being interviewed.	
4. Recruiting diverse population groups (language, disability).	➢ Inability to meet needs of people (as an organization).	➢ Utilize volunteers from the community to work with diverse populations ➢ Provide translated materials, etc.	
5. Lack of transportation, housing, and childcare.	➢ Retention. ➢ Poor attendance.	➢ Provide as many resources as possible.	

Member Development and Training

Obstacle	Possible Indicators	Solutions	Comments/Clarification
1. Member schedules.	➢ Not available at training time. ➢ Leave early.	➢ Emphasize in orientation. ➢ Develop calendar in advance to reflect training. ➢ Alternative dates by member trainer.	
2. Lack of funding (for trainers).	➢ No money for trainers. ➢ You are always training.	➢ Enlist agencies, groups to volunteer sources/products. ➢ Pair up with other programs.	
3. Geography.	➢ No show. ➢ Late. ➢ Leave early. ➢ Call about transportation.	➢ Director = driver. ➢ Car-pools. ➢ Offer public transportation alternatives. ➢ College van.	
4. Motivation interest.	➢ Bored. ➢ Evaluations. ➢ Attitude. ➢ Behavior.	➢ Get them involved. Participation!	
5. Lack of trainers.	➢ Not enough diverse programs offered.	➢ Pair up with other programs. ➢ Community members with skills to volunteer. ➢ Send to outside agencies /supplemental types of training (computers, CPR, etc.).	➢ Recognition – Make meetings, newsletters, and specific praise a priority. ➢ Reflection – Why are they doing their job?

Member Accountability

Obstacle	Possible Indicators	Solutions	Comments/Clarification
1. Member – Low motivation.	➢ Not attending meetings. ➢ Negative about program.	➢ Set regular meetings. ➢ Recognitions.	
2. Poor site placement.	➢ Absenteeism. ➢ Call ins ➢ Poor performance.	➢ Find a suitable site. ➢ Let members know you are concerned and will try "to help".	
3. Proper training.	➢ Improperly completed timesheets.	➢ Proper training. Hold site supervisor responsible.	
4. Geography.	➢ Late.	➢ Car-pool. ➢ Bus passes.	

Member Recognition and Reflection

Obstacle	Possible Indicators	Solutions	Comments/Clarification
1. Timing of Corps member recognition. Making the time – making it a priority to recognize Corps members.	➢ Not feeling appreciated. ➢ Lack of motivation. ➢ Members leaving program. ➢ Not built in to program design.	➢ Team meetings. ➢ Recognition in a newsletter. ➢ Building recognition in program. ➢ Praise in front of other staff. ➢ Specific meaningful achievements.	
2. Understanding the objective of reflection.	➢ Lack of interest. ➢ Lack of journal entries. ➢ Lack of motivation. ➢ Low buy-in.	➢ Train Project Director. ➢ Give Corps members directive reflection questions – guidance.	
3. Lack of time.	➢ Things getting put aside/not accomplished. ➢ Not as much time is spent.	➢ Prioritize. ➢ Set time aside on weekly/monthly basis to recognize and reflect. ➢ Time management.	
4. Money/limited budgets.	➢ Repetitious events. ➢ Members don't feel appreciated. ➢ No money is spent on members.	➢ Be creative! ➢ Prioritize money – prioritize your budget. ➢ Ask for donations.	
5. Not knowing what your members want.	➢ Bad feedback, i.e. on events. ➢ Lack of interest.	➢ Communicate. ➢ Ask for feedback. Icebreakers – make an effort to get to know them. ➢ Ask what they want. ➢ Sharing. ➢ Involve members, i.e. in planning.	

Obstacle	Possible Indicators	Solutions	Comments/Clarification
6. Geography.	➢ People can't make it. ➢ Show up late. ➢ No transportation.	➢ Vary/rotate meeting sites. ➢ Car-pooling. ➢ Combine service and training, activities. ➢ Adjust meeting times.	
7. Scheduling	➢ Lateness. ➢ People don't show up.	➢ Advance notice. ➢ Notify people to arrive earlier. ➢ Plenty of warning.	
8. Communication – Open-dialogue.	➢ No one wants to share. ➢ Argument/conflict.	➢ Trust-building exercises. ➢ Establish communication guidelines. ➢ Establish ground rules. ➢ Role modeling as staff. ➢ Role model good behavior.	Open dialogue promotes honesty.

J. Planning for the Future

You have a program, and you have a grant! How can you run a successful program that meets all the objectives you identified in your grant while achieving sustainability?

❖ Take Action!

- Develop an action plan
  - Use your program objectives to design a detailed action plan
  - Objectives can be broken down into yearly, quarterly, monthly, weekly, and daily activities for all levels of staff and members

- Develop three-year goals for the life of your grant, and beyond!
  - Track your progress
  - You can use the members' time and activity log to monitor member progress toward objectives
  - Create a similar log to measure staff and program progress
  - Hold regular meetings to check in on progress

- Evaluate your progress
  - Use the time and activity logs as a basis for evaluation and continuous program improvement
  - Hold mid-year and end of year evaluations for staff and members

❖ Think Strategically!

- Programs need to look beyond the current year and establish program goals and mission for future years. You will need to adjust your objectives as your service activities make an impact on the needs the program is addressing. You will also need to become established in the community and develop a sustainability plan. Programs should involve their stakeholders in long term strategic planning sessions. This will help start the community thinking about long term goals and identify the resources needed to be successful. Establish goals for three, four, and five years, and then determine what is needed to achieve those goals.

❖ Seek Advice!

Advisory boards can help assist in the long term planning and sustainability of programs. Programs should select key members of the community who can provide strategic input and direction for the program. It is important to have specific roles and responsibilities for advisory boards, and to meet or provide regular communications between the program and advisory board members. Advisory board members can also be called on to help in fundraising strategies to increase the potential for long term sustainability.

❖ Follow the Money!

Programs may want to look beyond the community for opportunities to expand their funding base. Foundations and corporations are several sources where programs can diversify their funding base. Local communities have already tapped most governmental grants so looking to alternate sources of funding may benefit both the program and community. Corporation training and technical assistance providers can help you determine a strategy for diversifying your funding base.

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CHAPTER 11
TRAINING

A. Member Orientation

A successful pre-service training or orientation is the key to starting the program year off strong. This is the first opportunity for members to see the program in action, set realistic expectations, form partnerships with other members, program staff, and site supervisors, and begin building a strong sense of team. AmeriCorps members need to develop a foundation, a functional level of general and project-specific knowledge and skills, in order to feel comfortable and confident in their new roles, and effectively serve their community. A strong foundation laid during member orientation can help ensure a smooth year and can be built upon during in-service sessions throughout the year. If the foundation is not strong, it will need reinforcing. Ineffective member orientation will create challenges and leave the program members playing catch-up for the rest of the year. Investing in effective training up front pays off later.

B. Starting Strong

1. Plan the member orientation

Plan - The better organized you are, the better orientation will be – even if you make lots of changes during the session. The more you systematically consider possible situations and needs, methods, and potential problems, the more confident and flexible you will be. The first step in planning is to do an assessment to determine the scope of work and the resources available for orientation. Five areas to address in the orientation could include:

a.) *Program Structure*. This would involve addressing what tribal departments will be interacting with the AmeriCorps members.
b.) *AmeriCorps Members*. Assess who the new corps members are, whether they are tribal members, and their education and work experience. Each of those factors will impact the components of the orientation.

c.) *Resources Available for the Orientation*. This could be materials used from past member orientations, cash, and individuals who could assist with or present at the orientation.
d.) *Orientation Design*. If the corps members are located at multiple sites it will be necessary to conduct a portion of the orientation at the site.
e.) *Experience in Conducting Member Orientation*. What experience do you or other Program Directors have and what has been learned that can help improve the orientation?

Located on page 11-5 is a sample member orientation assessment form that can be used in preparing for member orientation.

2. Make your orientation outcome oriented instead of designing your orientation based on topics to include. Decide what outcomes you want to accomplish. Then pick topics and methods that will generate these outcomes. Often one activity can contribute to several outcomes. To do this you must determine what outcomes are expected from the member orientation. Detailed below is a sample list of outcomes.

Affiliation with AmeriCorps National Service Network and Teambuilding

a. Members will feel a strong sense of affiliation with the tribe, the AmeriCorps National Service Network, and with this AmeriCorps program.

b. Members will have developed a strong sense of teamwork with the other members who will be working in the same host site, and same program priority area.

c. Members will have developed and be able to demonstrate basic communication skills.

d. Members will have learned the basic concepts and application of conflict resolution techniques and be able to describe ways to apply them in their Americorps assignment.

Administrative Information

e. Members will know and understand basic administrative program requirements of AmeriCorps.

f. Members will be able to read, use, and understand AmeriCorps forms and reports.

General or Cross-Cutting Knowledge and Skills

g. Members will be prepared to work in diverse member groups and with diverse programs and communities.

h. Members will have developed skills in working effectively in group-planning, problem solving, running meetings, negotiation and conflict management, and related skills

i. Members will understand their own leadership styles and those of other people, concepts of situational leadership, and their implications for the AmeriCorps experience.

j. Members will have the skills needed to help conduct community needs assessments, establish and maintain positive relations with community members, and encourage community involvement in programs.

k. Members will have had practical experience in planning, implementing, and evaluating at least one community project.

l. Members will have the office and professional preparation to work successfully within the organization to which they are assigned.

m. Members will be prepared to document, reflect upon, and evaluate their AmeriCorps experience.

Project-Specific Knowledge and Skills

n. Members will have developed specific objectives and project plans for their own AmeriCorps assignment.

o. Members will have the programmatic and technical knowledge and skills needed to carry out their individual assignments successfully

p. Members will have completed targeted needs assessments for their community or project.

3. List other desired outcomes. In addition to the AmeriCorps members this might relate to service site supervisors, or other individuals or entities. Put them on the chart located on page 11-5.

4. Indicate which of these outcomes must be accomplished through orientation and which could be left to service sites. Use the second column of the chart to record this information.

5. Now prioritize these outcomes. First, look at the outcomes you have entered onto the chart, and review the list of outcomes you have indicated should be handled through the program member orientation, rather than through training provided at a site level. Then determine which of these outcomes are high, medium, or low priorities. You can indicate priorities in column three of the attached chart. This will help you decide appropriate member orientation length, and will be useful later on, as you develop your Member Orientation agenda and curriculum. You may not be able to cover all the listed outcomes in pre-service training. Low or medium priority outcomes may form the basis of your in-service training plan.

Member Orientation Information Assessment Form

Date: _____

A. Program Structure

1. Identify the different levels of collaborating partners involved in your program – levels at which pre-service training might be provided (check all that apply):
   ____Group or program level
   ____Local service sites
   ____Other (specify _____)

2. How many different sites are involved? _____

3. Identify the priority areas in which your AmeriCorps members will be working, and list the different types of service assignments or positions members will hold (e.g., in-school aid, tutor, parent liaison, housing counselor, etc.), listing separately every assignment that will require project-specific knowledge and technical skills.

Priority Area		Assignments
____	Environment:	
____	Human Needs:	
____	Public Safety	

B. Member

1. How many members will you include in this member orientation? _____

2. How may will be: _____ Full-time _____ Part-time

3. How many members will be returning for a second year? _____

4. Will members be from (check all that apply):
   ____ The same communities in which they will be assigned
   ____The tribe
   ____Another tribe
   ____Anywhere in the country

   (Where members live helps determine travel costs and may influence the decision to provide centralized or decentralized, residential or during-the day member Orientation.)

5. Describe expected member characteristics and diversity.

a. Educational level

b. Socioeconomic status

c. Work experience

d. Urban/rural background

e. Other (specify)

C. What has Already Been Decided about Your Member Orientation
(If you have already made certain decisions, review them, be sure design team member are familiar with them, and see whether any changes are needed.)

1. Do plans already exist for member orientation? Yes_____ No_____

2. If yes (check all that apply):

   ____ Does a member orientation design exist from a prior year?
   ____ Was a plan included in the proposal to AmeriCorps?

3. Is money budgeted for member orientation? Yes_____ No_____

   If yes, approximately how much money is available? $ _____

   If no, is there a way to make some resources available for member orientation, and if so how much?

   ____ Yes ____ No Amount: $ _____

4. Describe any specifications for member orientation that are stated in the proposal or in an existing member orientation plan. ***(If none, skip to part D of this form):***

   a. Centralization versus decentralization – Will the member orientation be (check all that apply
      ____ Held in one central site
      ____ Held at each service site
      ____ Other (specify) _____

   b. Timing – When will member orientation occur (approximate date)?
      _____.

c. Duration – how long will member orientation last?

d. Location – in what area or specific site will member orientation be held?

e. Curriculum or focus – what will be included (if part will be program (D) and part site, indicate the content of each segment by using a "C" or "D" instead of a check)

____ Orientation to AmeriCorps, administrative information
____ Teambuilding and affiliation with the National Service Network
____ General or cross-cutting knowledge and skills needed for particular assignments
____ Specific knowledge and skills needed for particular assignments
____ Other (specify) _____
Attach any existing curriculum or materials.

f. Participation – in addition to members, which of the following will participate?

____ Crew/team supervisors
____ Host site supervisors
____ Collaborating tribal staff
____ Other (describe) _____

How and to what extent will each participate?

i. Design – who is to design the member orientation (check all that applies)?

____ Grantee personnel
____ Collaborating tribal personnel
____ Host site personnel
____ Other (specify) _____

j. Delivery – who will serve as trainers (check all that apply)?

____ Grantee personnel
____ Collaborating tribal personnel
____ Host site personnel
____ Consultants
____ Other (specify) _____

k. Evaluation – who will evaluate the pre-service training and how?

l. Other aspects of the member orientation that are already determined

D. Project – or Host – Site – Level Training

1. To what extent do tribal agencies or host sites plan to provide site – specific training?

   a. Does the program require that host sites provide site–level training for members prior to their starting an assignment?

      ____ Yes ____ No Varies by site/project

   b. If not, are some host sites planning to provide it anyway?

      ____ Yes ____ No Varies by site/project

2. If site –specific training is provided:

   a. Who is responsible for providing such training (check all that apply)?

      ____ Your program
      ____ Tribal staff
      ____ Host sites

   b. Describe plans for this training.

   c. How will you ensure that the program-level training complements the site-level training?

   d. If information exists about planned training for each type of project assignment, attach it (see listing in question A.5.), including duration location, focus, whether written materials exist, and training methods planned.

   e. If no planning has been done for site-specific training, indicate how you plan to encourage this planning.

E. Capacity and Experience

1. If you have already done member orientation in past years, what lessons have you learned from that experience that will lead to modifications in this year's member orientation? (Attach evaluation reports or other written information if available.)

2. Which, if any, of the groups involved with this program have significant experience in designing training similar to member orientation (check all that apply)?

	Design	Delivery	Evaluation
AmeriCorps program personnel	____	____	____
Tribal personnel	____	____	____
Host site personnel	____	____	____
Other (specify) _____	____	____	____

3. How accessible and willing are they to help you with the member orientation?

Chart of Desired Member Orientation Outcomes

Desired Outcome	Program or Site	Priority

Using the desired outcomes identified, develop the training topics. Located on page 11-12 through 11-15 is a sample based on the examples on pages 11-2 through 11-4. Finally, after you have developed the topic and activities drop them into the available time frames. A chart to assist you in doing this is located on page 11-16.

Chart A: Outcomes and Training Topics

Desired Outcome	Training Topics/Activities	To be included in program or Site Member Orientation

Chart B: Sample Outcomes and Training Topics

Desired Outcome	Training Topics or Activities	To be included in Program or Site
Member Affiliation with the AmeriCorps National Service Network and Teambuilding:		
Members will feel a strong sense of affiliation with the National Service Network and with this AmeriCorps program	History/background on national service and AmeriCorps History/background on your agency and its AmeriCorps program Affiliation-building experiences and group activities Graduation/appreciation activities	Program Program Program Program
Members will have developed a strong sense of teamwork with the other members who will be working in the same host site, same geographic area, and same program priority area	History/background on projects to which members will be assigned and the agencies which run them Teambuilding experiences and group activities Appreciation of diversity/multiculturalism Graduation/appreciation	Site Program Program Program
Members will have developed and be able to demonstrate basic communication skills.	Communicating content, communicating feelings Listing skills Giving feedback and critiquing others Other communication skills development	Program Program Program Site
Members will have learned and be able to demonstrate CPR and first Aid Skills	How to provide CPR and basic first aid	Part Program Part Site
Members will have learned basic concepts and applications of conflict resolution techniques and be able to describe ways to apply them in their AmeriCorps assignments.	Introduction of conflict resolution Negotiation skills Other forms and applications of conflict resolution techniques	Program Program Site
Orientation to AmeriCorps and Administrative Information		

Desired Outcome	Training Topics or Activities	To be Included in Program or Site
Members will know and understand basic administrative and program requirements of AmeriCorps, as states by the Corporation for National and Community Service	AmeriCorps, purposes, priorities, and regulations	Program Site
Members will be able to read, use, and understand AmeriCorps forms and reports	Administrative forms and procedures – understanding and using them	Site
Members will have gained initial exposure or basic skills in certain affiliation-building activities which are encouraged and reinforce the ethic of service	Communication Conflict Resolution, CPR/First Aid Environmental Audit Citizenship HIV/AIDS Education	Both Site
General or Crossing-Cutting knowledge and skills:		
Members will be prepared to work in diverse member groups and with diverse organization and communities	Multi/diversity awareness, knowledge, appreciation; cultural competence skills. Experience in working with diverse member groups or teams Practice working in diverse communities	Program Both Both
Members will have developed skills in working effectively in groups – planning, problem solving, running meetings, negotiation and conflict management, and related skills	Knowledge and skills in working effectively in groups, including; Understanding of group process Running effective meetings; Group planning and problem solving Negotiation and conflict resolution Practice in applying group processes through a community project, community survey or needs assessment Communication skills – speaking, feedback Use of many different group activities Teambuilding activities	Program Site Site Site

Desired Outcome	Training Topic or Activities	To be included in Program or Site
Members will understand their own leadership styles and those of other people, concepts of situational leadership, and their implications for the AmeriCorps experience.	Leadership styles and situational leadership Group activities enabling members to experience different leadership and group problem-solving roles in practical situations	Program Program
Members will have the skills needed to help conduct community needs assessments, establish and maintain positive relations with community members, and encourage community involvement in projects.	Determining community needs and resources (surveys, needs and resources (surveys, needs assessments, focus groups) Community relations skills Community involvement Role plays or other practice with host she supervisors, members On-Site practice – community survey, community needs assessment, community project	Program Program Program Site Program
Members will have had practical experience in planning and implementing at least community project.	Planning and completion of one or more community project – in the community where the member will be located or in another community near the MEMBER ORIENTATION	Both
Members will have the office and professional preparation to function successfully within the organizations to which they are assigned	How to work effectively within an existing organization -- fitting into “organizational culture” – e.g., promptness, dress codes, other expected skills and behaviors	Site
Members will be prepared to keep portfolios or otherwise reflect upon and evaluation their AmeriCorps experience	Introduction to keeping portfolios Interim and end-of-MEMBER ORIENTATION evaluation Time to maintain/update portfolios	Program Both Both
Project-Specific Knowledge and Skills (Optional):		
Members will have developed specific objectives and project plans for their own AmeriCorps assignments.	Project planning and objectives setting Joint planning with site supervisor, members with same assignment	Program Site

Desired Outcome	Training Topics or Activities	To be included in Program or Site
Members will have programmatic and technical knowledge and skills needed to carry out their individual assignments successfully	Knowledge, skills, attitudes related to specific assignments Multicultural/diversity awareness/skills If feasible, community survey or other activity located at the host site, to develop familiarity with the site and assignment	Site Program Site
Members will have completed targeted needs assessments for their community or project.	Community survey or needs assessment	Site
Site supervisors and members will have jointly developed objectives and project plans for each member or crew.	Joint planning and objectives setting by members and host supervisors for specific member projects/assignments	Site
Site supervisors will feel a sense of group affiliation with the National Service Network and with this AmeriCorps program.	Teambuilding activities involving members and host site supervisors Community project or other group activities involving members and host site supervisors	Program Site

Chart C: Sample Format for a Member Orientation Training Outline

Date/Day	Morning Time/Topic/Activity	Afternoon Time/Topic/Activity	Evening Time/Topic/Activity

SAMPLE AGENDA MEMBER ORIENTATION AGENDA

_____/ AmeriCorps Program
Name of tribe here

The following is a sample agenda for Program Directors who are giving an AmeriCorps Members' Orientation. While all of the listed topics must be covered, Programs should supplement the agenda to reflect the tribe and the members with whom they are working. Before the orientation, make as many copies of the Member Orientation Packet as you will have members attending.

Welcome

- Invite the tribal chairman to welcome the Corps members to the program.

Introduction/Icebreaker

- Discuss what type of work the members will be doing as AmeriCorps members. Why do they want to be an AmeriCorps member? What is the value of full time service? Discuss the ethic of service.
- Provide a game or fun activity.

Discuss the mission of your program and objectives of the AmeriCorps program. Explain your organization's relationship to AmeriCorps.

Then use the Overview of the AmeriCorps* sheet to provide information about AmeriCorps. Discuss the following:

- History of native service for your tribe
- The AmeriCorps program

Corporation for National and Community Service
Explain the various streams of service below. Use the *Overview of AmeriCorps* History of AmeriCorps** and the summary of programs* sheet to explain the following:

- National Service Family
  - AmeriCorps
  - Service Learning Programs
  - Senior Service Corps

- AmeriCorps Programs
  - TCCC/NCCC
  - National Direct and State AmeriCorps Program
  - VISTA

Values of AmeriCorps

Refer to *Values of AmeriCorps*,* listed below. This section can be interactive. For example, you can ask the AmeriCorps members how their service will fulfill the values of the AmeriCorps program**.**

Values of AmeriCorps

- Getting Things Done
- Strengthening Communities
- Encouraging Responsibility
- Expanding Opportunities

AmeriCorps Education Awards

Refer to documents *About Your AmeriCorps Education Award*.* Use this document to explain, what Education Awards are, who is eligible to receive them, how they are obtained, and so on.

Allowable and Prohibited Activities

Hand out and review your organization's allowable and prohibited activities for AmeriCorps members. See the sample *Allowable Activities** and *Prohibited Activities for AmeriCorps Members*.*

Reporting Requirements

Refer to *Explanation of Member forms to discuss the Corporation for National and Community Service Enrollment form, Member Contract (Service Agreement), Member Activity Weekly Tracking Tool, Member Semi-Annual Report, Loan Forbearance Form, End of Term/Exit-Form, and Interest Accrual Form.*

If you wish, this time can be used for the members to complete the CNS Enrollment Form, the Member Contract, and the Loan Forbearance Form. Collect all forms upon completion. Remember that the Site Supervisor must sign the Member Contract before it is sent to your program director.

Common AmeriCorps National/State Events

Explain that there will be several days throughout the year dedicated to promoting and recognizing national service, for example, MLK Day, "A Day on, Not a Day Off," National Youth Service Day, and so on. These days make excellent opportunities for your members to pair up with other AmeriCorps member in their region to promote and participate in national service. More information on these events will be available as the dates approach.

Other Member Benefits

The Corporation for National Service offers AmeriCorps members an Education Award in exchange for fulfilling a designated term of service. It will be helpful for your members and staff to identify the benefits that you will offer AmeriCorps members. Putting this information in writing in a *'Member Benefits' sheet* to distribute to members at orientation and to keep on file for staff reference is recommended.

Participants' List

Pass around the Orientation Participant List and make sure each member signs it. Return completed list to _____ AmeriCorps program/AEAP HQs office within 15 days of the orientation.

AmeriCorps Pledge

Hand out copies of the AmeriCorps Pledge and read aloud as a group

Closing Activity

You may pose a question such as "What difference do you think you will make in your community during your term as an AmeriCorps member?" Members can share or just contemplate the question.

This is a sample form to be modified for use by Tribal AmeriCorps programs. This form was modified from a form created by the Catholic Network of Volunteer Service AmeriCorps Program.

OVERVIEW OF AMERICORPS

About AmeriCorps

AmeriCorps supports local state, and national organizations across the nation that involve Americans in results-driven community service. AmeriCorps participants (called members) who serve full-time for a year receive a living allowance and, after their service, receive an education award worth $4,725. The education awards are paid as vouchers by the National Service Trust, and may be redeemed within seven years to pay for current education costs at colleges, universities, other post-secondary institutions and approved school-to-work programs, or to pay back qualified student loans already incurred.

AmeriCorps includes AmeriCorps* VISTA, AmeriCorps State and National, and AmeriCorps* NCCC, with more than 600 national, state, and local nonprofits, Indian tribes, and territories receiving AmeriCorps grants.

AmeriCorps* VISTA members serve low-income communities and families across the country. Members of AmeriCorps* VISTA work and live in the communities they serve, creating or expanding programs that can continue after they complete their service. AmeriCorps* VISTA members are assigned to local project sponsors and focus on building community capacity, mobilizing community resources, and increasing self-reliance.

AmeriCorps Tribal, State and National members participate in local service programs operated by not-for-profit organizations, local and state governments' entities, Indian tribes, and territories, institutions of higher education, local school and police districts, and partnerships among any of the above. Program recruitment, selection and placement of members are the responsibility of the grantee. Members serving in these programs help meet communities' critical education, public safety, environmental, and other human needs

AmeriCorps TCCC and is a 10-month full-time residential program that is operated by four tribes for the Tribal Civilian Community Corp and funded directly by the Corporation for the National Civilian Community Corp. AmeriCorps* TCCC/NCCC combines the best practices of civilian service with the best practices of military service, including leadership development and team building. The TCCC Campuses are at the following tribes:

- Hoopa
- Navajo
- Tanana Chief Conference

The NCCC campuses are located at

- Charleston, S.C
- Denver, Colorado

- Perry Point MD
- Sacramento, CA
- Washington, DC

AmeriCorps* NCCC/TCCC conducts service projects in partnership with local and state sponsors. A service-learning approach that is integrated throughout all service projects includes planned activities and training.

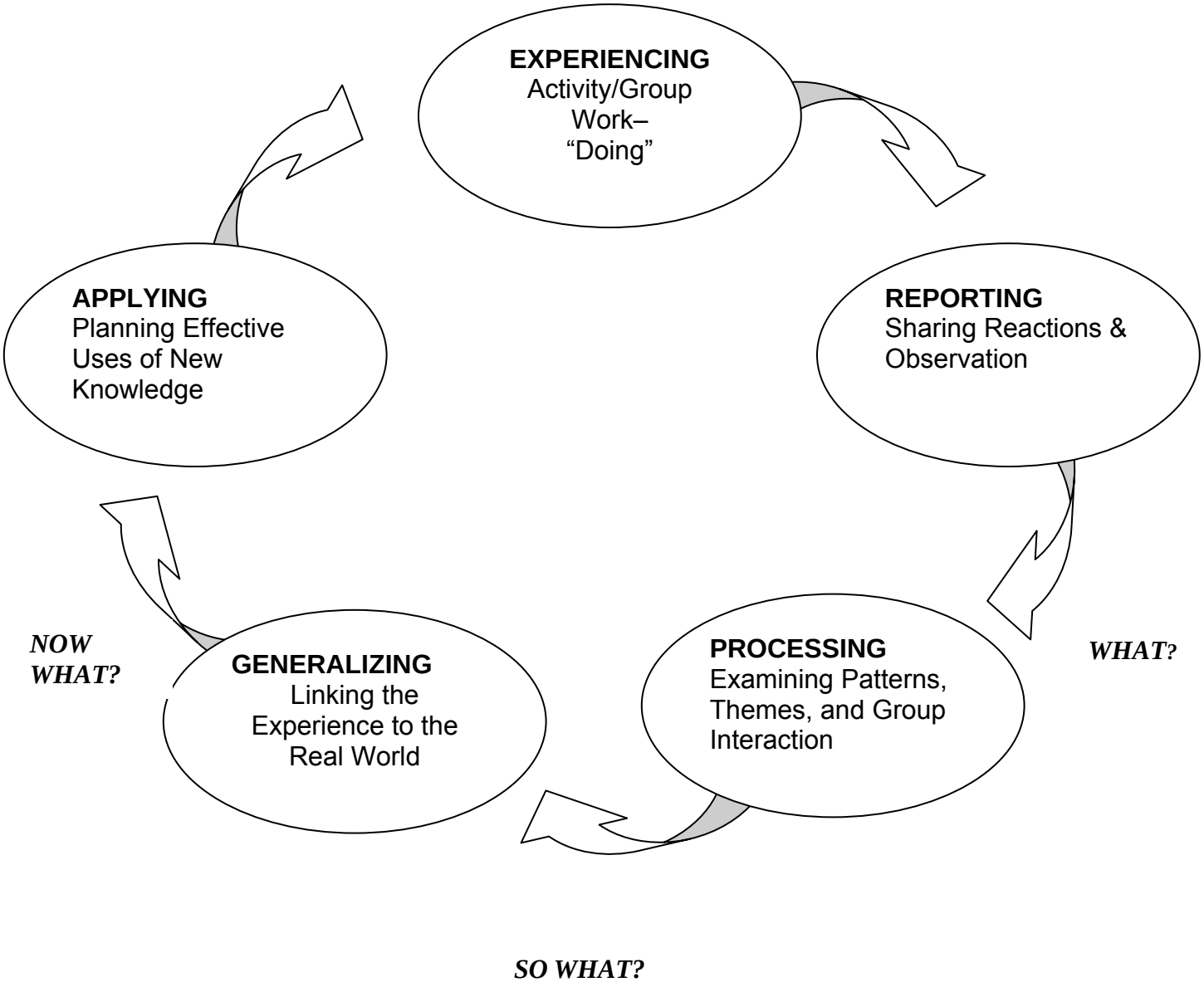
Mission of AmeriCorps

The mission of AmeriCorps can be articulated in four parts:

1. Getting Things Done – through direct and demonstrable service that helps solve community problems.
2. Strengthening Communities – by bringing together Americans of all ages and backgrounds to the common effort to improve our communities.
3. Encouraging Responsibility – by enabling members to explore and exercise their responsibilities toward their communities, their families, and themselves.
4. Expanding Opportunity – by enhancing members' educational opportunities, job experience, and life skills.

- Develop the Member Orientation Training. Make your member orientation interactive and experiential. That means leaving sufficient time for questions and answers. Use every component of the experiential learning model.

The Experiential Learning Cycle



The Learning Pyramid displayed below demonstrates the importance of actively involving the participation of the members.

THE LEARNING PERIOD

According to the National Training Laboratory, research shows the following average retention rates for different teaching or training methods.

5% Lecture

10% Reading

20% Audio-Visual

30% Demonstration

50% Discussion Group

75% Practice by Doing

90% Teaching Others

- Carefully choose, and thoroughly prepare, your facilitators and presenters. Select them for their training skills, not just their content knowledge. Be sure they know what you expect, and review materials and methods before the training. For experts who aren't trainers, use them as "resources," and facilitate the session yourself.

- Emphasize teamwork. Most participants will be working in teams. Use icebreakers, well-designed smallgroup activities, special teambuilding activities, and community projects to build team spirit and mutual trust.

NOTES:

- Model the service ethic. Bring in role models, build on individual eagerness to serve, and have the staff, site supervisors, and other presenters reflect the benefits of service. Talk about service directly and honestly, and communicate realistic expectations.

- Use participants as resources. Assess their skills as well as their training needs. Give them opportunities to teach other, through cooperative learning groups and other specific peer teaching activities. Use them as co-facilitators in areas in which they have special expertise

- Link training with the service assignment. Train the supervisors as well as the members. Have supervisors work with members to plan their service activities. Provide or plan community projects. The more relevant the orientation to the actual assignment, the more interesting and useful it will be for members.

- Monitor, assess, and evaluate. Throughout the session, ask member for feedback, and make immediate refinements. Assess specific activities and the overall session as a basis for change next year. Follow up to see if skills learned are retained and used. Use varied evaluation techniques.

- Make pre-service training the first step in ongoing learning. Link it to in-service sessions, site-based training, and other knowledge and skill development.

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C. ONGOING MEMBER TRAINING

Programs can allocate up to 20% of members' time to training, education and other non-direct service activities. For members serving full time (at least 1700 hours), 20% amounts to about 340 hours during their term of service. After the initial orientation, there is usually still plenty of time left over for ongoing training. You may wish to dedicate a specific number of hours each week or month to training, or set up mid-service training. Some programs have members serve four days a week, reserving the fifth day for planning, meetings, and in-service training.

a. Skill Training: Most likely programs will want to continue to provide training in the areas in which members will be performing service. During the term of service, members may need additional or follow up training in skill areas, for example, programs that use tools may provide on going training on proper use and safety of equipment; and most members may need further training in project management and action planning. Skill training is something that can occur throughout the year, but in general occurs early on as members need specific skills to perform their service.

b. Member Development: The Corporation strongly suggests that all members receive basic training in common areas that they refer to as "Member Development". This includes training and communication, conflict resolution, CPR, and basic living skills (like time management and stress relief). While much of this can be covered during orientation, some (such as living skills) may be on going throughout the year. Some programs may conduct regular talking circles. You should provide opportunities for members to reflect on their service by providing journal time or group discussions each week. You may want to help members write personal development plans, to be evaluated when they have completed their term of service. These may include, filling out college applications, exploring career choices, and resume writing, as well as other things. This is often referred to as "life after AmeriCorps" training, and should be a basic part of your member training plan. You will also need to work with members who do not have a high school diploma to assist them in earning their GED. Other areas you may want training on include dealing with job stress, substance abuse, and overall health.

Of course, this only begins to describe training topics that can benefit members. Before your program starts, you should outline a year-long training plan in order to have time to recruit trainers, gather resource materials and ensure that trainings are occurring at a

NOTES:

logical time during the year. Good training adds to the positive experience of the member and will often help in retention of members.

D. Staff Training

You should assess staff skill levels in order to identify areas that could be improved with training. Staff will need training on the AmeriCorps grant provisions and program objectives as well. In addition, finance officers or office managers involved in financial management will need training on specific grant provisions.

Other training that may benefit staff includes member supervision, teambuilding, leadership, motivation, project planning, goal setting and prioritizing, service site development, and evaluation. Program directors may want to work with each staff member to develop professional goals. The T&TA network established by NCS focuses on training staff. Therefore, taking advantage of the T&TA opportunities for training will both further develop the skills of staff and improve the overall quality of the program.

E. Program Development Assistance and Training Funds (PDAT)

Each year CNS makes funds available for program development assistance and training (PDAT). To receive these funds programs submit a plan that includes needs, proposed activities, and a budget. These funds are to help strengthen program and staff. In addition, funds may be used to assist in corps member training for appropriate training situations. The PDAT funds will be awarded as a component of the regular AmeriCorps Cooperative Agreement. Use of PDAT funds is an excellent way to help meet some of your program training needs.

Located on the following pages is an example of a Member Development Form and a Staff Development Form.

NOTES:

SAMPLE
Member Development Plan

Name _____
Term of Service _____

Assessment of Need
_____
_____
_____
_____

Outcome Desired
1._____
2._____
3._____
4._____

Training Activities
1._____
2._____
3._____
4._____

Training Activities	Method of Training	Timeframe	Costs
1.			
2.			
3.			
4.			

NOTES:

SAMPLE
Staff Development Plan

Name _____
Term of Service _____

Assessment of Need
_____
_____
_____
_____

Outcome Desired
1._____
2._____
3._____
4._____

Training Activities
1._____
2._____
3._____
4._____

Training Activities	Method of Training	Timeframe	Costs
1.			
2.			
3.			
4.			

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CHAPTER 12

SITE SUPERVISION AND SITE MANAGEMENT

TRIBAL AMERICORPS PROGRAM

A. SITE SUPERVISOR HANDBOOK

Basic Information and Guidelines On

AmeriCorps Site Supervision and Member Management

I. Welcome

Welcome to the AmeriCorps family! This handbook has been prepared to assist you, the Site Supervisor, in your important role in this program. It is designed to tell you more about Tribal AmeriCorps Programs, and to answer questions you might have regarding the goals and guidelines of the program. We hope you find it helpful and appreciate any feedback you can offer to help us improve this effort.

Congratulations on your decision to join this innovative and exciting program, and best of luck for a rewarding year for you and your AmeriCorps members!

1. What is AmeriCorps?

A. Brief History

In 1993, Congress enacted the National and Community Service Act, creating the Corporation for National and Community Service. President Clinton signed the legislation soon after, and AmeriCorps was launched the following year. Since then, over 200,000 members have served in programs in every US state and territory.

B. Goals and Philosophy

AmeriCorps is the national service movement that engages Americans of all ages and backgrounds in service to address the most critical problems in our Nation's communities in the areas of education, public safety, the environment, and other human needs. In exchange for a specified term of service, AmeriCorps members earn an education award to pay back student loans or to finance college, graduate school, or vocational training. Some members may also earn a living allowance for their period of service.

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AmeriCorps Values

The mission of AmeriCorps can be articulated in four parts -

1. **Getting Things Done -** through direct and demonstrable service that helps solve community problems.

2. **Strengthening Communities** – by brining together Americans of all ages and backgrounds in the common effort to improve our communities.

3. **Encouraging Responsibility** – by enabling members to explore and exercise their responsibilities toward their communities, their families, and themselves.

4. **Expanding Opportunity** – by enhancing members' educational opportunities, job experience, and life skills.

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C. AmeriCorps Terms

Because of the unique and innovative nature of this program, there are some terms that have been developed to accurately represent details of AmeriCorps. Consistent use of these terms helps reinforce the common objectives of AmeriCorps and clarifies AmeriCorps for the public. **Some frequently used terms are**:

members - people who participate in AmeriCorps are referred to as "members" rather than volunteers, staff, workers, participants or employees.

service, **serve** - members serve, or provide service, in their AmeriCorps assignments; they do not "work".

living allowances - if an AmeriCorps member is paid during his or her service, he or she receives a living allowance rather than a salary or wage.

national service - this term refers to any of the programs affiliated with the Corporation for National and Community Service. In addition to AmeriCorps, national service programs include Learn and Serve America, AmeriCorps VISTA, the National Civilian Community Corps and the National Senior Service Corps.

service-learning – this is an educational method that helps members learn through active participation in thoughtfully organized service projects.

2. What is the Tribal AmeriCorps Program?

A. General Description

The Tribal AmeriCorps Program is …

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B. The Education Award

Upon successful completion of a required term of service, AmeriCorps members qualify for an AmeriCorps education award. For full-time members this award is $4,725, and for part-time members it is $2,362.50. Prior to this award being granted, an End of Term/Exit form must be completed by the Program Director, which, among other things, certifies the hours served.

The education award may be used to repay existing qualified student loans and to pay the cost of attending a qualified institution of higher education or the expenses incurred in participating in an approved school-to-work program. Members can divide their award to pay a combination of these loans and/or expenses, and have seven years from the end of their term of service to use the award.

C. Living Allowance

A program in which an AmeriCorps member serves is encouraged, but not required, to provide a living allowance to that member. If a program elects to pay a living allowance, the maximum amount a full-time member can receive is $16,680 per year; part-time members may receive up to the prorated share of this maximum calculated on a full-time basis. FICA must be paid for any member receiving a living allowance, and all applicable personal income taxes must be withheld from a living allowance.

D. Personnel Policies

The Tribal AmeriCorps Program recognizes that many organizations in which its members serve already have policies regarding personnel and general office issues. Part of the appeal of the Tribal AmeriCorps is this recognition, and the ability for members to serve in many diverse professional environments. The tribal program offers management the flexibility to continue to apply its approved policies, and offers this handbook as a guideline for issues you may not have addressed within your organization.

Your existing office policies and guidelines still apply to Tribal AmeriCorps members. However, the policies in this handbook must also be applied to your Tribal AmeriCorps members. Should you identify any requirements in this handbook that contradict your own, please speak with your Program Director

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about it. The Corporation believes that most AmeriCorps members will be able to serve within existing professional environments and that any additional requirements of AmeriCorps will be minimal and feasibly implemented.

E. Program Director

As frequently referenced throughout this handbook, your Program Director is one of your most valuable resources. He or she helped develop your partnership with AmeriCorps, and is therefore familiar with many of the details and policies of AmeriCorps and the Corporation for National and Community Service. Your Program Director oversees implementation of the grant from the Corporation for National and Community Service for your Tribal AmeriCorps Program, and is therefore responsible for insuring compliance with all reporting requirements and guidelines.

At any time throughout your members' terms of service, you should feel free to consult your Program Director with questions, problems, or comments. He or she can expand on the issues highlighted in this handbook, and help make your affiliation with AmeriCorps rewarding for you, the Site Supervisor, as well as for the member.

3. Why Was the Tribal AmeriCorps Program Developed?

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II. What Do I Give/What Do I Get?

As the supervisor of a Tribal AmeriCorps Program member, you are making a commitment to the experience of your member and to the growth of this exciting national service program. You will find that with a few responsibilities to AmeriCorps come a multitude of rewards and benefits to you, your member, and your service community.

1. Supervisor and Agency Obligations

A. Provide Supervision and Rewarding Service Opportunities

In agreeing to place a Tribal AmeriCorps member, an organization agrees to provide an opportunity for direct and meaningful service on the part of the member. Members should be able to learn about themselves and the work of your organization, and the activities of the member should allow for personal growth and learning about the community.

You must provide adequate supervision of the member in order to facilitate the learning and growth described above. An environment should be established that challenges the member to fulfill the four-part mission of AmeriCorps outlined earlier in this handbook. You as the Site Supervisor should provide members with the information, orientation, guidance, and support necessary to contribute to your programs and to experience personal and professional growth.

B. Monitor Service Hours and Activities

One extremely important role of the Site Supervisor is to monitor the number of hours a member has served, in order to verify that member's eligibility for the education award. The Site Supervisor, therefore, must approve a record of service hours and maintain a copy of these records.

The service hours may be monitored through the use of timesheets or attendance records; you may have timekeeping procedures already in place in your office that will suffice for this purpose. You should approve service hours on a regular basis, such as biweekly, and maintain a record of what you have

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approved. It is important for you to monitor the rate at which a member is completing the service hours to insure that he or she will be able to complete the full-time or part-time requirement within the specified time period.

Because AmeriCorps focuses on "getting things done", members will also be required to keep track of their service activities. They will work with you and your Program Director to identify a basis on which to measure the output of their service. It may be something like number of children tutored, number of meals served, number of clients assisted, or something similar. The member is then responsible for reporting the service results to the Program Director, although you may occasionally be asked to review this reporting.

C. Assist in Completion of End of Service Paperwork

A Member End of Term/Exit form must be submitted by the Program Director no later than 15 days after a member exits the program or finishes the term of service. Additional details about this form, which is required for the educational award and for interest accrual payments, are provided in the Completion Phase section of this handbook. You should coordinate with your Program Director on the timing of any information you may need to provide so he or she can complete the member End of Term/Exit form in a timely manner.

2. Participation Benefits

A. Education Award

One of the most obvious benefits to participating in AmeriCorps is the ability to enhance the benefits you offer interns or others providing service for your organization. Simply by joining the AmeriCorps family and meeting the obligations described above, your members are eligible to receive a significant financial award to be used for educational purposes, at no cost to you.

In this partnership, everyone benefits. Your important service activities are bolstered by the activities of the members, and members are assisted in furthering their education. The vast network of AmeriCorps members providing service throughout the country is expanded, helping communities and individuals reach their potential as well.

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B. Network of AmeriCorps Contacts

You, as the Site Supervisor, are now part of a vast network of AmeriCorps programs throughout the country. You may find this network helpful in addressing questions related to your AmeriCorps participation, and also in more general questions related to your service activities.

This network is both formal and informal. The formal network consists of a list of State Commissions, which is attached as Appendix 1 of this document. These commissions sponsor conferences and seminars, and many publish newsletters and various public relations material. You should contact your state commission to find out more about their activities. Also, these State Commissions can serve as a resource for general questions you, your member, or your Program Director might have regarding AmeriCorps.

Informally, your network will also consist of people you will meet through your members, Program Directors, and other Site Supervisors. We hope you will be encouraged and energized by the many people who share your commitment to national and community service, and that you will take advantage of the resources this network offers.

C. AmeriCorps Website

The Corporation for National and Community Service maintains a website that provides up-to-date information and developments in AmeriCorps and their other national service programs. This includes interesting information from sites throughout the country in the form of an on-line newsletter called National Service News. You are encouraged to access this website, which is updated regularly. The address is www.nationalservice.org. You may even have information on your program that you would like to have highlighted in the News! The Corporation for National and Community Service website also has links to State Commissions and national training and technical assistance providers.

D. Resource Library

The National Service Resource Center (NSRC) serves as a central point for collecting effective resources and information for AmeriCorps programs. It maintains a lending library of publications, kits, curricula, and videos on topics

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relevant to program needs. It also offers a toll-free assistance line and can conduct literature searches for information and resources on specific issues or programmatic needs. You are encouraged to contact the library to learn more about the helpful material that you can borrow to assist your program.

The contact information is:

Mailing Address:
NSRC
ETR Associates
P.O. Box 1830
Santa Cruz, CA 95061-1830

Shipping Address:
NSRC
ETR Associates
4 Carbonero Way
Scotts Valley, CA 95066

phone: 800-860-2684 or 831-438-4060
TTY: 831-461-0205
fax: 831-430-9471
e-mail: nsrc@etr.org

The NSRC website contains links to State Commissions, AmeriCorps programs, and national training and technical assistance providers, along with numerous online publications related to national service and a searchable catalog of national service related materials you can borrow from their lending library. In addition, NSRC maintains an AmeriCorps listserv, an electronic discussion group, related to AmeriCorps issues. For information about subscribing to the AmeriCorps listserv, contact NSRC at the above address.

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E. Training & Technical Assistance

The Corporation recognizes that running a successful service program can be quite challenging. To help in this effort, the Corporation has developed a training and technical assistance program (T/TA), in which specialists assist Program Directors and Site Supervisors, but not the members directly. The Corporation generally provides this assistance at no cost to AmeriCorps programs; in a few cases, programs will be asked to contribute to the cost of this consultation.

T/TA can be provided in areas such as recruitment, organizational development, program management, supervision, fiscal management, sustainability, evaluation, communication skills, diversity, and conflict resolution. Many T/TA providers offer workshops on these topics throughout the country. The T/TA involvement can be a short term, one-time consultation, or a regular, long-term arrangement. This assistance can be provided in areas too numerous to mention here; generally, wherever you may feel you need help; AmeriCorps T/TA will try to provide it.

If you have any interest in seeking assistance, you should discuss this with your Program Director who can help evaluate your needs and access the resources available through this valuable T/TA program. You are encouraged to take advantage of this valuable resource.

III. Nuts and Bolts of the Tribal AmeriCorps Program

1. Start-up Phase

A. Member Contract

At the start of the service period, each member must sign a contract that sets out the terms of his or her participation in AmeriCorps. There are many items to be covered in this contract, such as the minimum number of service hours, start and end dates of service period, acceptable conduct, prohibited activities, and other terms of participation.

The Program Director will develop a contract that meets the needs of your program. However, you should be aware that you may be asked to sign it in

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addition to the member; whether or not your signature is requested, you should keep a copy of the signed contract in your files for reference.

B. Personnel Records

In addition to the member contract, there are other records that will be maintained by your Program Director. You should be aware of what they are in the event you need to refer to any of them throughout the program year. These records include, but are not limited to, verification of eligibility to serve based on citizenship or permanent residency, birth date, level of educational attainment, date of high school diploma or equivalent certificate (if attained), AmeriCorps application, and member enrollment form.

The Program Director will also maintain a record of each member's schedule of hours. Of course, you will need this information as well, and the schedule should be acceptable to you and the operation of your service activities.

C. High School Diploma

If a member does not have a high school diploma upon enrollment in AmeriCorps, he or she must provide a written agreement to obtain a high school diploma or its equivalent before using the educational award. Programs are encouraged to help members make substantial progress on their GED during their term of service. The Program Director will maintain a record of the member's dropout date and their agreement to obtain their diploma. The member's education award will not be available to them until they obtain their high school diploma or GED.

D. Confidentiality

You must keep information about individual members confidential. Prior written consent must be obtained from all members before using their names, photographs, or other identifying information for publicity or promotional purposes. Parental or legal guardian consent must be obtained for members under 18 years of age. Your Program Director may chose to include a standard "informed consent form" as part of the member contract materials that are signed upon enrollment. You may release aggregate and other non-identifying information about members.

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Member information should only be released to authorized recipients, such as the Corporation or its Inspector General, or as required by law, such as pursuant to a subpoena. Information must be released to the Corporation and its designated contractors upon request. Also, individual states have laws regarding member confidentiality. If you have any questions or concerns about this, please discuss it with your Program Director.

E. Position Description

You should develop a position description that outlines a member's major activities, tasks and time commitments during their term of service. As mentioned above, a member's responsibilities should provide meaningful service and the opportunity for personal growth. Keep this in mind as you develop this position description.

A copy of this description should be shared with the member and your Program Director, and a copy should be maintained in your files. These position descriptions will be important references in evaluating the performance of your members.

F. Drug Free Workplace

All AmeriCorps sites must comply with the Drug Free Workplace Act. While your Program Director will implement and monitor this program, you should be aware of its implications for your daily operations, and that your Program Director may request your assistance in certain areas.

All employees and members must be notified about the Act and its requirements. A drug-free awareness program must be conducted to inform employees and members about the dangers of drug abuse in the workplace. Also, if an employee or member is arrested or convicted of a drug offense, he or she must notify your Program Director within five days, and the Program Director must take appropriate action.

G. Training and Orientation

At the beginning of a term of service, your Program Director will provide an orientation for your member(s). This orientation should be designed to enhance member security and sensitivity to your community and service site. It

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should cover topics such as member rights and responsibilities, prohibited activities, requirements under the Drug-Free Workplace Act, suspension and termination from service, grievance procedures, sexual harassment, non-discrimination issues and other topics as necessary.

To supplement the Program Director's orientation, you should then brief your member(s) on issues that are specific to your organization. For example, you should fully explain the mission of your programs and describe the major activities that help you and your members achieve those goals. You should discuss your expectations and performance standards for your member(s), and clarify your organizational policies. Also, at this time you should explain your member's major responsibilities and tasks and their role in your organization's activities.

Throughout your members' term of service, you should provide them with the training, skills, knowledge and supervision to perform well in their assigned service project. This training should include any specific skills the member(s) may need, as well as background information on the community they are serving.

Any time the member spends in orientation and training activities should count as part of their normal service hours. However, no more than 20% of their total service hours in your program may be spent in education, orientation, or training without specific written permission from the Corporation. At least 80% of the members' time must be spent in direct service activities, as specified by your grant agreement with the Corporation for National and Community Service and/or your State Commission.

H. Loan Forbearance and Interest Payments

While members are serving in AmeriCorps, they may apply for a forbearance, or postponement, of qualified student loans for their period of service. While the member and Program Director will handle most of the paperwork for this request, you should be aware of this option for your member.

Members will complete a National Service Forbearance Request Form and submit it to their Program Director, who in turn will submit it to the Corporation. Forbearance will automatically be granted for loans from most government sponsored loan programs provided that the loan is not in default. Private banks

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and other commercial loan holders have the option of granting or denying this request. AmeriCorps is not involved in this decision; it is merely able to verify membership in AmeriCorps. Members may obtain a copy of this Forbearance Request Form from your Program Director.

Also, upon successful completion of the member's service, the Corporation will pay all or a portion of the interest that accrued during the service period. This payment is made directly to the lending institution, not to the AmeriCorps member. This benefit is intended to enable an individual with an outstanding debt to participate in AmeriCorps. This is a benefit above and beyond the education award - the interest payment is not deducted from the amount of the award.

Again, members can obtain an Interest Accrual Form from your Program Director. While you are not responsible for completing this paperwork, you should be aware that the Corporation cannot make interest payments until an End of Term of Service Form is submitted (discussed later in this handbook).

I. AmeriCorps Signs and Banners

All Site Supervisors are requested to post an AmeriCorps sign or banner in their offices or facilities. It should be within the vicinity of wherever you member is located, so members of your staff and service community can identify the member's participation in AmeriCorps. Members and their Supervisors are often extremely proud of this affiliation and appreciate increased visibility of it. Publicizing your participation in AmeriCorps makes a strong positive statement about your member's and your commitment to service.

You can obtain signs and banners from your Program Director.

J. AmeriCorps Pledge

During a member's orientation, you or your Program Director should request that all members sign the AmeriCorps pledge. You, the member and the Program Director should all receive a copy of this once it is signed. You may elect to make this part of the member contract materials that the member signs upon enrollment, as is recommended with the informed consent form.

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The AmeriCorps pledge is:

I will get things done for America - to make our people safer, smarter and healthier.

I will bring Americans together to strengthen our communities.

Faced with apathy, I will take action.

Faced with conflict, I will seek common ground.

Faced with adversity, I will persevere.

I will carry this commitment with me this year and beyond.

I am an AmeriCorps member and I will get things done.

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2. Implementation Phase

A. National Service Days

Throughout the year, the Corporation organizes several national days of service for AmeriCorps members, other national service participants, and community volunteers who join together to meet a community need. Whenever possible, you should allow your member(s) to participate in these programs as part of their normal service hours. Your Program Director will be informed well in advance of these programs, and will share this information with you. You can also learn more about them from the on-line newsletter and website described earlier in this handbook, and from your State Commission.

These programs remind the members that they are part of a nationwide network of national service and volunteerism programs, celebrate their accomplishments, and allow them to work with AmeriCorps members and national service participants from other programs.

The names and dates of these events are as follows:

National Opening Ceremony and Make a Difference Day - late October
Martin Luther King Jr. Day of Service - mid January
National Youth Service Day and Volunteer Week - late April
AmeriCorps Graduation Ceremonies - June-August (may also occur at other times)

B. Prohibited Activities

i. General Guidelines

There are certain activities that AmeriCorps members and staff must not perform in the course of their duties, while charging time to the AmeriCorps program, or at the request of program staff. Furthermore, members and staff must not engage in any conduct in a manner that would associate the national service program or the Corporation with the prohibited activities. Please become familiar with the specific prohibitions to insure compliance with these important guidelines.

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The list of prohibited activities includes:

- participating in efforts to influence legislation, including lobbying for your program,
- organizing a letter-writing campaign to Congress,
- engaging in partisan political activities, or other activities designed to influence the outcome of an election to any public office,
- participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials,
- printing politically charged articles in a Corporation-funded newsletter or listserv,
- taking part in political demonstrations or rallies,
- engaging in any efforts to influence legislation, including state or local ballot initiatives,
- voter registration drives, and
- organizing or participating in protests, petitions, boycotts or strikes.

Other prohibited activities include:

- assisting or deterring union organizing,
- impairing existing contracts or collective bargaining agreements,
- religious activities,
- activities that pose a significant safety risk to participants,
- assignments that displace employees, such as substituting for a sick or vacationing employee or filling vacant positions,
- placement of members into internships with for-profit businesses as part of the education and training component of the program,
- providing assistance to a business organized for profit, and
- fundraising (see section below).

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However, AmeriCorps members, like any other private citizens, may participate in religious activities, lobbying, political, or advocacy activities on their own time, at their own expense, and at their own initiative. If, in the course of their service with your organization, members participate in any of the above activities, it may not be counted as part of their service hours in AmeriCorps. Members may not wear AmeriCorps service gear in such instances. They may not conduct themselves in any way that would associate AmeriCorps or the Corporation with this list of prohibited activities.

ii. Fundraising Guidelines

In general, AmeriCorps members cannot assist their organizations with major fundraising efforts as part of their AmeriCorps service hours. However, members may receive service credit for activities related to fundraising, but only to the extent that those activities satisfy all five of the following conditions:

- provide immediate and direct support to a specific and direct service activity,
- fall within the program's approved direct service objectives,
- are not the primary activity of the program,
- do not involve financial campaigns, endowment drives, solicitation of gifts and bequest, or similar activities designed for the sole purpose of raising capital or obtaining financial contributions for the organization, and
- do not involve significant amounts of time for any member.

For example, once or twice a year members in a tutoring program may solicit book donations to give to the children they are tutoring, but may not help write a grant proposal to help raise match money for the organization.

If you have any questions about the information pertaining to prohibited activities, please consult your Program Director for guidance.

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C. Verifying and Recording Hours

As mentioned earlier in this handbook, Site Supervisors are responsible for monitoring, verifying and maintaining a record of a member's service hours. This is an extremely important function because eligibility for the education award and interest payments is contingent upon proof of completion of service hours.

You may use your existing time-keeping system, or your Program Director can help you develop a new form for tracking your member's hours. Some supervisors find it helpful to have weekly timesheets, while others prefer them to be biweekly. Longer intervals are not recommended because it becomes difficult to accurately recall hours served.

Whatever format you use, timesheets should be signed by you and the member. You should give a copy to the member, and keep one in your files. It is important to remain up to date with this record keeping because of its importance in confirming your member's completion of service. Remember, you need to keep track of direct service hours separate from administrative and training hours.

D. Voting

You should encourage all eligible members to register to vote during their term of service, and should allow them time to register during their service hours. However, you cannot require members to register or to vote, as exercising this individual right is a personal decision. You also cannot attempt to influence how a member votes.

Members who are unable to vote before or after service hours should be allowed to do so during their service hours without incurring any penalties. You should determine an appropriate length of absence needed to vote, and clearly communicate this to your member.

Remember, AmeriCorps members may not participate in voter registration drives as a part of their service activities.

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E. Jury Duty

Serving on a jury is an important responsibility of citizenship. Members should be encouraged to serve jury duty and must not be penalized for doing so. During the time AmeriCorps members serve as jurors, they should continue to receive credit for their normal service hours. Also, they may keep any reimbursements for incidental expenses received from the court.

F. Grievance Policy

All AmeriCorps programs must have grievance procedures. While your Program Director is responsible for developing and implementing these procedures, you should be aware of them.

If informal efforts to resolve disputes are unsuccessful, then members, labor unions, and other interested parties may seek a resolution through a grievance procedure. This procedure must include an opportunity for a hearing and binding arbitration, and may include an alternative dispute resolution process such as mediation.

The grievance procedure is not designed to address all issues. Any allegations of fraud or criminal activity in the program must be reported immediately to the Corporation's Inspector General; the Hotline number for reporting problems is 1-800-452-8210.

G. Discrimination and Reasonable Accommodation

Your Program Director is responsible for ensuring compliance with AmeriCorps policies pertaining to discrimination and reasonable accommodations for members with disabilities. However, you should be aware that such policies exist, and be sure that you are familiar with them.

AmeriCorps programs may not discriminate against any member, program staff, or service recipient on the basis of race, color, national origin, religion, sex, age, political affiliation or mental or physical disability (including HIV/AIDS), sexual orientation, or any other improper criterion. Programs must also comply with applicable state nondiscrimination laws.

A program must also provide reasonable accommodation to otherwise qualified

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members with known mental or physical disabilities. Accommodation must be based on the member's individualized needs. All selections and project assignments must be made without regard to the need to provide reasonable accommodation.

Programs are not required to provide accommodations that would impose an undue burden. Your Program Director will work with the Corporation to determine whether or not accommodations are reasonable. Assistance may be available through your State Commission to help your program with reasonable accommodation issues.

H. What if a Member Does Not Complete Service?

The Corporation recognizes that due to unforeseen circumstances, some members may not be able to complete their required hours of service within the program period. The following guidelines should be applied to these members.

i. Compelling Circumstances

If a member elects to leave the program, the Program Director has the authority to determine whether or not their reason for dropping out is a "compelling personal circumstance." If a decision is made that the member's reason does indeed constitute compelling circumstances, your Program Director may elect to authorize a pro-rated educational award or temporarily suspend service for up to two years.

While this is ultimately the decision of your Program Director, you should be aware of the general guidelines in this situation. Some examples of reasons that may justify release from service include a member's critical illness, a serious family matter, or death or critical illness in the member's immediate family. It may also include premature termination of the program or other programmatic problems beyond the member's control. If a member chooses to terminate his or her participation to return to school, take a job, or because the member is dissatisfied with his or her assignment, these reasons would not justify a release for compelling circumstances. Determinations will be made on a case-by-case basis.

ii. For Cause

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Programs must release a member for cause if he or she, among other things, drops out without obtaining a release for compelling personal circumstances or is convicted of a violent felony or the sale or distribution of a controlled substance during the term of service. A program has the option of dismissing members based on other grounds related to performance and service related standards. However, these standards must be clearly articulated to the members in their contract (see Section III) at the beginning of their service period.

If a member is released for cause, he or she will not receive any part of an education award and may be disqualified from future service through AmeriCorps. As in release for compelling circumstances, this decision is to be made by the Program Director.

3. Completion Phase

A. Evaluation

All AmeriCorps members should have their performance evaluated throughout the program year and at the end of their term of service. As a part of AmeriCorps, there is no standard evaluation format you must use. You may utilize existing performance evaluation forms you use with staff in your organization, or your Program Director can assist you in developing one for your member.

There are no requirements regarding the frequency or timing of evaluations. However, many Site Supervisors find it helpful to conduct structured evaluations at the midpoint of the term of service to allow for feedback and improvement, and at the end of the member's service as a final record of the quality of service.

It is important to develop performance criteria that you will use in your evaluation process, and to share these with your member at the beginning of their term of service. The member should know in advance the performance standards against which he or she will be evaluated.

Performance evaluations should be signed by you and by the member; copies should be given to the member and your Program Director and placed in your files.

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Also, your Program Director may have specific performance indicators that he or she will need to collect from you throughout and/or at the end of the program. This information is needed for progress reports submitted to the Corporation on a regular basis. Your Program Director will inform you of these needs ahead of time.

B. End of Term of Service Requirements

When a member has completed the required number of service hours to qualify for an education award, and has met other program requirements, an End of Term/Exit Form must be completed and submitted to the Corporation. This form must be filled out by the member and the Program Director. However, in some cases your Program Director may authorize you, as Site Supervisor, to certify the member's service and complete this form. In this case, the Program Director will also submit a Designation of Authorized Certifying Official Form prior to your completing the Exit Form. End of Term certification is done through WBRS.

The End of Term/Exit Form must be sent to the Corporation through WBRS no later than 15 days after the member exits the program or finishes service. An End of Term/Exit form must be submitted for all members, even if they didn’t complete their term of service. If a member has left the program prior to completing service, this fact should be indicated on the End of Term/Exit Form.

The Corporation is unable to grant education awards or make interest payments until this form is received, which serves as proof of completion of service requirements.

Some Site Supervisors find it helpful to conduct an exit interview or ask members to fill out an evaluation form on their experience as an AmeriCorps member. This will help you learn from your experience in AmeriCorps as well.

C. Staying in Touch

We hope your AmeriCorps experience is a positive one for you as well as for your members. The Corporation has prepared a handbook for members entitled "Life After AmeriCorps", which you can obtain from your Program

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Director. This is an excellent resource to help members identify what they learned from their service and how to translate that into job skills and professional qualifications. It also helps them focus on what they would like their next step to be, and how to get there. This handbook is especially useful when given to members at the beginning of their term of service and used as a training tool throughout the year.

Also, you should encourage your members to contact AmeriCorps Alums, Inc., a non-profit organization located in Washington, DC. This association is an excellent resource for members as they complete their term. By joining, they can receive their quarterly newsletter, a monthly publication of job opportunities, a subscription to their email listserv, which provides general updates and job postings, and other important resources. For more information, contact –

AmeriCorps Alums, Inc.
1400 I Street, NW Suite 800
Washington, DC 20005
Tel – 202-729-8180
Fax – 202-729-8102
Website – www.americorpsalums.org

Please keep in touch with your Program Director and with the Corporation for National and Community Service. Not only can they help you in selecting additional AmeriCorps members, but they are also very interested in your comments and suggestions regarding your affiliation with this exciting program.

Good Luck!

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B. Site Supervisor Handouts - SAMPLE

Tribal AmeriCorps Program
SITE SUPERVISOR REQUIREMENTS

- Provide Program Director with completed Placement Site Description/Member Position Description Form (to be approved by *name of organization here* and AmeriCorps).
- Provide Program Director with completed Member Roster By Site Form.
- Sign each member's contract (service agreement), which establishes a contract for each member's education award.
- Sign the Site Supervisor Contract (service agreement) and return it to *name of organization here*.
- Sign members' weekly tracking tool and quarterly reports concerning member activities.
- Keep member files with members' weekly tracking tools and quarterly reports for each member.
- Make members aware of all available AmeriCorps state trainings and events, and allow their attendance whenever possible.
- Become familiar with AmeriCorps through the site supervisor handbook.
- Be aware of prohibited activities.
- Display AmeriCorps sign.
- Oversee and provide feedback for members.
- Evaluate the *name of organization here* /AmeriCorps program.

Tribal AmeriCorps Program
Placement Site Description/ Member Position Description

This form should be filled out by each Tribal AmeriCorps site. One form should be completed for each site where any member is serving. Sites should keep the originals and submit a copy to their person responsible for reporting program information to the Corporation for National and Community Service. Members should also have a copy of the position description.

Name of Tribal AmeriCorps Program:

City, State:

Name of Placement Site:

Site Supervisor's Name:

Street Address:

City, State, Zip:

Tel. #, Fax #:

E-Mail Address:

# of Members at Site: FT _____ PT _____ RPT _____ Total _____

Brief Description of Site: Include the goals/ objectives of the site and a summary of services/ activities performed (a mission statement would suffice). (Continue on back of sheet if necessary.)

Tribal AmeriCorps Program
Placement Site Description/Member Position Description (Cont'd.)

Member Position Description: For each position description include: A) Title of position B) The type of activities and tasks being performed by the members C) Relevant characteristics of the population being served (age, economic status, specific needs, etc.) D) Member opportunities for training & personal growth.

Position I

Position II

*Make copies of this sheet for additional position descriptions

MEMBER ROSTER

MEMBER	SITE

SAMPLE

Site Supervisor Contract (Service Agreement)
***Name of organization here* /Tribal AmeriCorps Program**

The name of organization here /Tribal AmeriCorps Program (organization acronym here /AmeriCorps) is funded through the Corporation for National and Community Service (CNS). This contract outlines the roles and responsibilities of a Site Supervisor in order to participate in the Tribal AmeriCorps Program. The following are definitions of terms used throughout the contract:

1. "Site"- your volunteer service site/facility or any other sub-site where the AmeriCorps member is serving. For this contract the site refers specifically to

   _____
   (name of site/facility)
   _____.
   (city and state)

2. "Site Supervisor"- the person who is officially and directly responsible for overseeing the members of the _____/AmeriCorps. For this contract, the Site Supervisor is
   _____.
   (name of Site Supervisor)

3. "Member"- any _____/AmeriCorps participant designated to serve at your site.

4. "Program"- the participating _____/AmeriCorps with whom the site is making this agreement. Communication regarding members or the _____/AmeriCorps requirements/procedures should be between the Site Supervisor and the Program Director (or _____/AmeriCorps Representative).

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For this contract the program refers to _____
(name of _____/AmeriCorps program)

and the Program Director is

_____
(name and title)

and the _____/AmeriCorps Representative (optional) is

_____.
(name and title)

The requirements are as follows:

- **Provide Supervision and Rewarding Service Opportunities**

In agreeing to place an AmeriCorps member, the site agrees to provide an opportunity for direct and meaningful service for the member. Members should be able to learn about themselves and the work of your site. The activities of the member should allow for personal growth and learning about the community.

You must provide adequate supervision of the member in order to facilitate the learning and growth described above. An environment should be established that challenges the member to fulfill the four-part mission of AmeriCorps (see Site Supervisor Orientation packet). You, as the Site Supervisor, should provide members with the information, orientation, guidance, and support necessary to contribute to your programs and to experience personal and professional growth.

- **Monitor Service Hours and Activities**

One extremely important role of the Site Supervisor is to monitor the number of hours a member has served, in order to verify member's eligibility for the education award. The Site Supervisor, therefore, must approve a record of service hours and maintain a copy of these records.

The service hours should be recorded by the member on the Weekly Tracking Tool. You should approve service hours on a weekly basis and maintain a record of what you have approved. (It is important for you to monitor the rate at which a member is

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completing the service hours to insure that s/he will be able to complete the full-time or part-time requirement within the specified time period.) Additionally, you are responsible for signing members' quarterly reports and sending them to the Program Director (or his/her program Representative) by the assigned due date.

- **Assist in Completion of End of Service Paperwork**

A member End of Term/Exit form must be submitted by the Program Director to the _____/AmeriCorps headquarters no later than 15 days after a member exits the program or finishes the term of service. **You should coordinate with your Program Director (or his/her program Representative) the timing of any information you need to provide to the _____/AmeriCorps headquarters so s/he can complete the member End of Term/Exit form in a timely manner.**

- **Submit the Placement Site Description/Member Position Description form to the Program Director**

You should complete the Placement Site Description/Member Position Description form, which will be provided along with the Site Supervisor Orientation Packet. As mentioned above, a member's responsibilities should provide meaningful service and the opportunity for personal growth. Keep this in mind as you develop the positions of your members. A copy of this form should be shared with the member and your Program Director, and a copy should be maintained in your files. This will be an important reference in evaluating the performance of your member.

- **Review and adhere to the _____/AmeriCorps guidelines established in the Site Supervisor Orientation packet.**

The Site Supervisor Orientation packet contains information that will help you understand the _____/AmeriCorps and your responsibilities towards your AmeriCorps members and the Corporation for National and Community Service. It will also equip you with knowledge and resources so you can answer your members' questions and enhance the volunteer service at your site.

The Site Supervisor and the Program Director hereby acknowledge by their signatures that they have read, understood and agree to all terms and conditions of this agreement.

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_____/AmeriCorps Program Director: _____
_____

Signature: _____ Date _____

_____/AmeriCorps Site Supervisor: _____
_____

Signature: _____Date _____

Once this contract has been signed by all parties, make any photocopies needed, and then return it to the _____/AmeriCorps headquarters at:

_____
_____
_____

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C. Site Selection and Management - Tips and Resources

The service sites where your AmeriCorps members work are critical to the success of your program. It is here that AmeriCorps values are acted out and member gain a sense of the importance of what they are doing to help their communities. Here are some tips on establishing and maintaining strong relationships with AmeriCorps service sites.

- Sites must offer work that meets the service objectives of the program.
- Sites must be able to provide enough service activities to keep members occupied, but not over-burdened.
- Sites must be accessible to members.
- Sites must provide a safe working environment for members and service recipients.
- A staff person must be appointed to supervise your AmeriCorps members at each site where they serve. This person is known as the AmeriCorps Site Supervisor.
- Site supervisors must be willing to meet the AmeriCorps program requirements and have the time and ability to manage the AmeriCorps members at their site.
- Ideally, site supervisors should have previous experience in supervision and see the addition of an AmeriCorps member as an asset to the site mission, but not as the sole means of meeting that mission.

Site Supervision Orientation

❖ **How?**

Although you have a great deal of information to share with your site supervisors, remember that they have expert knowledge of their service sites that will be valuable to you, as well. An interactive orientation structure that allows for participant input and feedback will give site supervisors the opportunity to share their knowledge with you and each other. Holding a successful orientation requires thoughtful planning and preparation in order to meet your goals for the session, while making it engaging and fun for your site supervisors. Resources for further guidance on planning your site supervisor orientation are listed at the end of this tip sheet.

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❖ Why?

Establish a clear understanding of AmeriCorps requirements and values among your site supervisors during orientation. An understanding of AmeriCorps is essential for effective management and leadership of AmeriCorps members. Orientation is an excellent opportunity to set the tone for your working relationship with your site supervisors. The dialogue that occurs during orientation will open channels of communication between you and the supervisors that will be valuable in the future.

❖ When?

Ideally, an orientation should last no more than 2 to 3 hours, given that your site supervisors will be taking time out of their respective scheduled to come together on that day. Hold an orientation for site supervisors as soon as possible before beginning your program year to help establish a strong working relationship between yourself and your site supervisors. It is important to hold the site supervisor orientation prior to the orientation for members. This will give site supervisors a chance to gain an understanding of their role and AmeriCorps before beginning their job of managing members. Making sure that your site supervisors are prepared to provide members with oversight and leadership will help in getting your program off to a strong start.

❖ What Should the Orientation Cover?

The best tone for an orientation session is professional, yet collegial. Orientation tends to be most effective in a group context that emphasizes the sharing of information and ideas. Use this time with your site supervisors to review both the site supervisor and member handbooks and to discuss the regulations that apply to site supervisors and members. The AmeriCorps video, *"Getting Things Started,"* is a good way for site supervisors to lean about the AmeriCorps vision and mission, as well as specific details about their roles. Other useful materials to discuss include the member agreement, the member timesheet and member orientation materials. Orientation is the best time to discuss expectations for communication between you and your site supervisors, as well as how to handle any problems that may arise. This may involve establishing a schedule for regular contact and exchanging information through e-mail, phone calls, meetings and reports. Orientation can also be a great opportunity to build alliances in the greater service community. Bringing in local professionals to assist you in the training sessions for your site supervisors will introduce your AmeriCorps program to other organizations in the community, increasing local awareness of the services that your members will be providing.

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ONGOING MANAGEMENT

The emphasis on the exchange of information that characterizes your site supervisor orientation should carry over into your working relationship with your site supervisors.

Both you and the site supervisors will get most of your information about the progress of your AmeriCorps program from members, through written and informal exchanges. Information from members is valuable, but you will need more than that to manage your program effectively.

❖ Site Visits

Establish a schedule for regular site visits, the first one within the first month of the program. Plan to hold at least two others, one at the midpoint of the service year and then a final one near the end of the program. During site visits, look at program achievements as well as challenges.

❖ One-On-One and Group Meetings

Set aside a regular time each month or quarter to meet with your site supervisors privately to exchange feedback on the status of the program. Use time during your site visit if necessary. If you have multiple sites, plan group meetings that bring together all of your site supervisors in order to develop the sense of community and exchange that you established during their orientation.

❖ Resources for Site Supervisors

It is important to give your site supervisors a sense of being part of the mission of your AmeriCorps program and the larger national service network even though they may be working at different agencies and sites. In addition to group site supervisors meetings, make sure that site supervisors receive publications and information about AmeriCorps such as newsletters, upcoming training(s) and invitations to local or regional AmeriCorps events.

NOTES:

AmeriCorps Site Selection and Management Resources

There are many resources available to assist you in the management of your AmeriCorps sites. The AmeriCorps Site Supervisor and Member Handbook and the Catholic Network of Volunteer Service AEAP 101 Manual for Program Directors are excellent start-up resources that will serve you well throughout the course of your AmeriCorps program. In addition, the materials listed below can provide further insight and information on the selection and management of your AmeriCorps sites. The materials are available on loan through the National Service Resource Center (NSRC), an AmeriCorps training and technical assistance (T/TA) provider. The NSRC catalogue number for the materials follows each description. The NRSC can be reached at 1-800-860-2684. The NSRC can be reached on line at www.etr.org/NSRC or by e-mail at susan@etr-associates.org

AmeriCorps Front-line Supervisors' Workshop: Participants Notebook. National Crime Prevention Council, Washington, DC 1997. Manual used in front-line supervisor's workshops. Includes roles and styles of supervision, communication skills, building a cohesive team, prioritizing work, and action planning.

Becoming a Better Supervisor: A Resource Guide for Community Service Supervisors National Crime Prevention Council 1996. Designed to strengthen supervising skills, illustrates the various roles of a supervisor, including communicator, team builder, planner/manager, and AmeriCorps representative. Includes readings, assessment tools, and checklists. Guide developed by three major sources: a comprehensive needs assessment; views of AmeriCorps supervisors who participated in Supervisory Skills Workshops; and literature in the fields of supervision, management, and community participation.

The (Help) I don't Have Enough Time Guide to Volunteer Management. Campbell, Katherine Noyes and Susan J. Ellis. Energize, Inc., Philadelphia, PA 1995. A step-by-step approach to building a volunteer management team. Includes how to map the boundaries of a job, find administrative volunteers and put them to work productively, and coordinate the efforts of a management team. Provides figures and practical worksheets to help with specific tasks.

NOTES:

Leadership and Management of Volunteer Programs: A Guide for Volunteer Administrators. Fisher, James C., and Kathleen M. Cole Jossey-Bass, San Francisco, CA 1993. Discusses the profession of volunteer administration from a management perspective. Provides a multidisciplinary look at current research, theory, and literature from the field of management as they relate to volunteer administration. Describes situations from a range of setting, involving such populations as board members and regulation, off-site, and short-term volunteers.

Managing Meetings that Get Results: The Effective Manger Seminar Series. Tracy, Brian. Nightingale-Conant Corporation, Chicago, IL. A kit that includes a video and an audio tape, it presents a condensed mini-seminar on how to manage and participate in meetings more effectively for maximum return on time invested. Includes information on different types of meetings and agendas, room layouts, how to problem solve, and reasons for ineffective meetings.

The New Supervisor: Skills for Success. Tepper, Bruce B. American Media Publishing, West Des Moines, IA 1995. Guidelines for improving supervising skills, including decision making, managing time, communicating effectively, and delegating work. Provides worksheets for self-assessment.

Starting Strong: A Self-Help Guide to Effective AmeriCorps Pre-service Training. McKay, Emily Gantz, Diane Cabrales, et. Al. Mosaica, Washington, D.C. 1995. Provides information on the type of formal pre-service training appropriate for a specific program. Written for AmeriCorps programs and Corporation for National and Community Service staff, it reflects program member input regarding training methods.

NOTES:

D. Multi-Site Management Strategies

- Different organizational structures, schedules, and trends for busy seasons
- Sites may not be located near each other
- Sites may have different cultures, expectations and language
- Site supervisors have many additional responsibilities
- Sites have differing levels of technology and communication capabilities
- Goals of partner organizations may differ from AmeriCorps
- Sites have different levels of commitment to AmeriCorps
- Site supervisors vary in skills in management and supervision

Given these features, how will you want to spend most of your time?

Management of problems – supporting sites when difficulties arise, utilizing members in generating solutions, and making sites aware of your willingness to assist them whenever needed

Unifying – seeking to develop a common identity with AmeriCorps and connection to your program among all sites, while adapting to the varying cultures, schedules, customs, and environments; unifying members, staff, site supervisors, and those served

Leadership – enthusiasm demonstrated by you, a leader in your program, to set a tone of excitement about AmeriCorps and the national service movement

Training – providing skills to members and supervisors necessary for effective implementation of the program through orientation and on-going training opportunities throughout the service year

Information – good communication through a comprehensive selection and orientation of sites, clear explanation of expectations, easy reference material for sites, and continual open interaction with sites

NOTES:

Tips for Successful Multi-Site Management

Manage Problems -

- The key to problem solving is problem prevention
- Select sites carefully, through competitive application process if possible, in order to maximize "buy in" of partners and appropriateness of member placements
- Provide site agreements or contracts which clearly detail expectations of members, site supervisors, and AmeriCorps program staff; carefully review this document with members and site supervisors prior to commencement of service and have all parties sign to indicate agreement
- Host orientation for site supervisors and carefully review all requirements for participation in AmeriCorps – address questions and concerns at the outset of your partnership; make this a pleasant event with refreshments, promote positive association with AmeriCorps
- Work with Site Supervisors to insure that other staff at the placement site understand AmeriCorps and the role of its members, including a review of prohibited activities
- Maintain open and regular communication with Site Supervisors, to help them feel part of the AmeriCorps network and provide an opportunity for them to bring potential problems or questions to your attention as quickly as possible
- Address any problems quickly, directly and fairly
- Keep your commitments and appointments with sites – do not disappoint them by not calling or showing up when they expect you.

Unifying –

- Include Site Supervisors and staff in events such as National Service Days and other corps-wide functions

NOTES:

- Provide AmeriCorps signs to all service sites for visibility and awareness
- Recognize successes whenever you can – help partners feel good about their association with AmeriCorps
- Provide Certificates of Appreciation to Site Supervisors at the end of a member's term of service; acknowledge others that you feel have contributed significantly to your members' experience
- Facilitate site supervisor meetings or conference calls when possible to assist them in sharing mutual concerns and collaborating on possible solutions
- Send a letter from AmeriCorps and/or your college to the Site Supervisor's board and their supervisor, commending their contribution to your program, and be sure to share all publicity and good news they helped your program garner

Leading –

- Share the "National Service News" with Site Supervisors throughout the year, ask for nominations to be highlighted in this as motivation and inspiration for sites to succeed
- Invite Site Supervisors to serve on the Advisory Committee for your AmeriCorps program – convene this group several times throughout the year to seek management insights, suggestions for improvements, ways to ease the administrative burden on sites
- Give copy of AmeriCorps members' pledge to all sites; invite community partners to "swearing in" ceremony at start of term of service
- Remind yourself of why you chose to be a part of AmeriCorps and share this inspiration with others in your program

Training –

- Provide information about AmeriCorps, its philosophy, role of members and its guiding concept of "Getting Things Done" at orientation and reinforce this throughout the year

NOTES:

- Generate a procedure for orienting new supervisors who begin after initial orientation

- Offer training to all staff who interact with member on-site (e.g. not just the principal, but the teacher who works with the member)

- Use AmeriCorps Training and Technical Assistance for yourself, and try to generate relevant workshops that would be a benefit to site supervisors in all of the work that they do

- Training(s) should cover: mission and goals of program, technical information about expectations and requirements, clear explanation of policies and procedures, information on resources in your program, description of how sites can utilize other sites and program staff for support

- Generate a training schedule before the year begins so site supervisors (and you!) make certain that all areas are covered and available at accessible and appropriate times

Information –

- Determine what information you need to collect from sites before program begins, working with Site Supervisors to ensure data is manageable to collect and a meaningful representation of members' activities

- Involve members in collection of data – educate them about what you need so they can log information throughout their term and assist Site Supervisors in this task

- Collect information from sites before you need it, so there is time to clarify and synthesize information before you submit to your management

- Make it as easy as possible for Site Supervisors to give your program the attention and time it needs – provide simple formats for information, clearly articulate your program's needs, streamline their responsibilities as much as possible

NOTES:

- Identify opportunities when site supervisors might already be meeting or communicating with each other, and piggy-back on those events (i.e. school board meetings, community meetings, etc.)

- Utilize members as liaisons for your communication with site Supervisors

- Be aware of particular timelines and schedules of sites (i.e. do they have “busy seasons”, are their offices closed over holiday periods?) and reflect this in the timing of your requests for information

- Use email; establish your own Internet mailing list for regular updates and announcements, and don’t forget to mail printed copies of all email communication to those not on line

- Chart the communication streams between you and the site and within the site to determine who should be communicated with and which means of communication would be most effective.

NOTES:

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CHAPTER 13
RESOURCES

A. Resources Available to AmeriCorps Programs

1. Listservs

What's a listserv? A listserv is an electronic discussion group that meets over e-mail. Listservs provide a place to ask questions, post information, and share ideas and resources with peers via e-mail. They are a good way to stay current with changes to AmeriCorps program requirements, offerings and calendar updates

Once subscribed to a list, messages can be sent through the list server to all the other subscribers. Also, a daily bulletin will be automatically delivered to you by email. (It is important to subscribe to the “digest” version in order to receive one collection of daily postings, rather than each posting separately throughout the day.) There are several listservs that pertain to AmeriCorps programs. A few that might interest you are:

- **ACList - The AmeriCorps Listserv**
  To join the AmeriCorps listserv, send email to “join-aclist@lists.etr.org”

> After subscribing, you will receive a message that you must reply to in order to confirm your subscription. Then you will receive a welcome message and be subscribed to the list. Please **carefully read** and save the welcome message for future reference.

2. Training and Technical Assistance (T/TA)

NOTES:

There are several organizations that have cooperative agreements to provide free information and assistance to AmeriCorps programs. ACKCO is the designated T/TA provider for Tribal AmeriCorps programs. Our contact information is:

Brian King, Project Manager
ACKCO/American Indian Professional Services
1326 N. Central, Suite 208
Phoenix, AZ 85004
(800)525-2859 ext. 154
brian.king@ackco.com

Following is a complete listing of all T/TA providers and their areas of specialty. Please contact ACKCO, at the number above, or visit the corporation website (www.nationalserviceresources.org) for more information.

NOTES:

T/TA Services for Tribes
ACKCO
Phoenix, AZ

Homeland Security
Project TAHS/Aguirre International
Burlingame, CA

Volunteer Leveraging
Points of Light Foundation and
Volunteer Center National Network
Washington, DC

Disability Issues
Institute for Community Inclusion
University of Massachusetts
Boston, MA

Participant Recruitment and Development
Northwest Regional Educational Laboratory
Portland, OR

Performance Measurement and Evaluation
Project STAR/Aguirre International
Burlingame, CA

Community Engagement and Strengthening
Public Allies, Inc.
Milwaukee, WI

Financial and Grants
Walker and Company
Washington, DC 20016

Resource and Fund Development
Campaign Consultation, Inc.
Baltimore, MD

eGrants Training and Technical Assistance
Aguirre International, Inc.
Burlingame, CA

The Resource Center
ETR Associates
Scotts Valley, CA

Technical Assistance for Faith-based and Community Initiatives
National Crime Prevention Council
Washington, DC
Public/Private Ventures
Philadelphia, PA

National Service Learning Clearinghouse
ETR Associates
Scotts Valley, CA

Technical Assistance to State Commissions
Aguirre International, Inc.
Burlingame, CA

Technical Assistance for Specific Learning Communities
Campaign Consultation, Inc.
Baltimore, MD

NOTES:

Educational Success and Mentoring
Northwest Regional Educational Laboratory
Portland, OR

Coordinating Service-Learning Programs
Northwest Regional Education Laboratory
Portland, OR

NOTES:

3. The NSRC Resource Library

This library, run by the National Service Resource Center (NSRC), contains a wealth of resources for programs funded by the Corporation for National and Community Service. It offers materials on volunteer management, program management, tutoring, mentoring, diversity, and team building just to name a few topics! You may access it via the NSRC website (www.etr.org/nsrc), or by calling ETR at the number below.

- **SEARCH** the library database by title, author or topic (key word).
- **BROWSE** through the entire alphabetical listing of Resource Library holdings.
- **DOWNLOAD** an index of all materials listed by subject in PDF format. NSRC can also send you a hard copy of the library catalog if you are an eligible Corporation-funded program. The Resource Center Assistant can be reached by e-mail at nsrc-shipping@etr.org or by phone at **800-860-2684, ext. 142**.

Items in the Library are available to AmeriCorps programs, State Commissions, National Senior Service Corps, Learn and Serve America programs, and National Training and Technical Assistance Providers. Programs can borrow two items at a time for three weeks. Items may be renewed unless there is a waiting list. Library services are **free**, but borrowers are responsible for the cost of shipping items back to NSRC

NOTES:

The following is a sampling of materials that are currently available:

NSRC Publications

- National Service Resource Center Library Catalog, September 1999
- *The Resource Connection* (newsletter archive)

AmeriCorps

- 1999-2000 Program Director's Handbook
- AmeriCorps Pledge Poster
- Next Steps: Life After AmeriCorps

Conflict Resolution

- Face to Face: Resolving Conflict Without Giving In or Giving Up
- Face to Face: A Presenter's Manual on Conflict Resolution and Communication Skills

General Service

- Service as a Strategy in Out-of-School Time
- Strengthening Service in America through Continuous Learning
- Wyoming: A Case Study

Literacy

- America Reads: Principles and Key Components
- A Compact for Reading Guide: A Reading Partnership Action Kit
- On the Road to Reading: A Guide for Community Partners
- Reading Helpers: A Handbook for Trainers
- So That Every Child Can Read
- Lisa and Crystal: Learning to Read (video)
- Rose and Melany: Reading in English (video)
- Yolene and Blayn: Reading Comprehension (video)

Program Management and Improvement

- Becoming a Better Supervisor
- Practical Applications: Strategies for Supporting a Diverse Corps

NOTES:

- Principles of High Quality National Service Organizations
- The Stages of Group Development (poster)
- Starting Strong: A Guide to Pre-Service Training
- Tool Kit: A User's Guide to Evaluation for National Service Programs

B. AmeriCorps Identity Resources

Mississippi Industries for the Blind is the provider of official AmeriCorps gear, including t-shirts and hats. You can request an order form to fax or mail in your order, or you can order off the website.

Mississippi Industries for the Blind
PO Box 4417
Jackson, MS 39296-4417
601-984-3200
601-987-3892 fax
http://www.americorps.org/resources/appendix/catalog.pdf

Several other companies also offer AmeriCorps-specific recognition items:

Western Heritage Company
PO Box 455
Encampment, WY 82325
307-327-5702
307-327-5703 fax

Youth Biz Inc
3050 Richard Allen Court
Denver, CO 80205
800-611-8916

The following website provides an extensive list of companies that can provide you with custom designed recognition items:
http://www.avaintl.org/resources/recog.html

NOTES:

C. Corporation for National and Community Service Publications

A Manager's Guide to Communication
United Way of America
Provides information for managers on how to communicate changes in their national service programs to achieve desired potential. Presents an action plan for setting up communication links and how to evaluate success.

***America Reads: Principles and Key Components for High Quality America Reads National Service Program Initiatives**
Corporation for National and Community Service
An eight-page booklet divided into two sections: principles and key components. The principles section provides general guidelines about integrating America Reads initiatives within national service programs, and the key components section outlines the standards of quality tutoring activities.

AmeriCorps Hot Issues and Solutions
National Association of Service and Conservation Corps
A collection of practical and proven suggestions for dealing with common AmeriCorps issues. Hot Issues one-pagers are available on 11 different common issues facing national service programs.

***Becoming a Better Supervisor: A Resource Guide for Community Service Supervisors**
National Crime Prevention Council
Reference tool kit providing examples, real-life scenarios, tips, and models for national service supervisors to use.

Developing Diversity Training for the Workplace: A Guide for Trainers
National MultiCultural Institute
Comprehensive manual for developing and delivering a one-day workshop on valuing cultural diversity in the work place. Contains training materials, training tips, and listings of resource references.

Doing a Self-Directed Study for Service-Learning
National Service-Learning Clearinghouse
Workbook-style guide to the evaluation process for programs. Includes sample designs and recommendations of methods for collecting data.

NOTES:

Ethic of Service Master Plan
National Association of Service and Conservation Corps
A collection of suggestions for dealing with issues concerning fostering an ethic of service among members from which programs can glean ideas that can make a difference for their program.

***Face-to-Face: Resolving Conflict Without Giving In or Giving Up**
National Association for Community Mediation
Curriculum designed to train national service members in responding to conflict situations. Activities offer participants increased awareness of conflict dynamics and skills for implementing behavior changes.

***Getting Unstuck: Transforming Conflict from Crisis to Opportunity**
National Association for Community Mediation
Booklet which provides strategies to help create a collaborative working environment and also guidance in selecting an appropriate conflict resolution service provider.

***Guide to Working with the Media**
Corporation for National and Community Service
Assists national service organizations in working with the media to promote their programs. Provides tips on writing a press release and on handling press conferences.

Guides to Developing Service-Learning Programs
National Service-Learning Clearinghouse
Lists guides in the National Service-Learning Clearing-house collection pertinent to service-learning. Includes bibliographic and source information.

LINK Pieces: Connecting Theory with Practice
National Service-Learning Clearinghouse
Brief reviews of resources and readings on topics such as service-learning and evaluation, and citizen participation.

***Media Training Materials for AmeriCorps Programs**
United Way of America
Provides material for AmeriCorps and other national service programs to use media outreach effectively. Includes getting a message to the community, communicating in a crisis, and how to promote a special event.

NOTES:

Mission Accomplished: A Practical Guide to Risk Management for Nonprofits
Nonprofit Risk Management Center
Provides advice on how to establish an effective risk management program. Describes the risk management process and discusses several special risk categories.

***National Service Resource Center Library**
National Service Resource Center
Listings of resources available to national service programs from the NSRC library. Includes a subject index by topics.

***Next Steps: Life After AmeriCorps**
Corporation for National and Community Service
Workbook for AmeriCorps members to use during their service year to help them start thinking about their future after AmeriCorps. Includes sections on completing a self-assessment survey, managing transition, and examining options, such as going to college or entering the job market.

*** ‡On the Road to Reading: A Guide for Community Partners**
Early Childhood Technical Assistance Center
Addresses the knowledge and skills needed to support a literacy development program for children from preschool through grade three. Topics include how most children learn to read, how tutors can support young readers, involving families in tutoring programs, building community partnerships, and developing a tutoring program.

***Practical Applications: Strategies for Supporting a Diverse Corps**
Macro International
Provides strategies for encouraging and promoting diversity in AmeriCorps programs. Addresses such issues as recruitment and retention of members, assessment policies in the program to determine if they support differences, training and skill development, and dealing with group conflicts.

***Principles of High Quality National Service Organizations**
Corporation for National and Community Service
Designed to show how communities can use national service to meet critical needs in the areas of education, public safety, human needs, and the environment. Includes information on programs that place individual participants in national service projects and on programs where service is based on crews or teams.

NOTES:

Road to Resolution, The: A Manager's Guide to Resolving Conflict
National Association for Community Mediation
Provides tools and information on how to analyze and manage conflict within national service programs and organizations. Includes applications of how to cultivate an environment that allows conflict to be managed in ways that create opportunities for growth.

***Service as a Strategy in Out-of-School Time**
National Institute on Out-of-School Time, Wellesley College
Manual to help program directors, childcare providers, service members, school administrators, and leaders of community-based organizations integrate service in the development and implementation of out-of-school programs. Discusses quality programs and highlights effective practices.

Service-Learning: A Study of Exemplary Practices
National Service-Learning Clearinghouse
Reports on the results of four qualitative studies conducted on service-learning programs in Minnesota.

***Starting Strong: A Guide to Pre-Service Training**
MOSAICA
Training manual developed to address the need of AmeriCorps programs in designing and delivering pre-service training to AmeriCorps members. Provides extensive information on the why of pre-service training, training design, training topics and activities, and includes a list of related resources.

State Commissions on National Service: A Reference Manual for Commission Executive Directors, December, 1997
Aguirre International/Project TASC
Provides an overview of the responsibilities of state commissions and the Corporation regarding national service programs. Reference guide for state commission executive directors and commission members to help develop and promote a statewide vision for national and community service.

NOTES:

Summit Summary: An Annotated Bibliography on Service-Learning, National Service, Civic Education, and Character Education
National Service-Learning Clearinghouse
Bibliography prepared specifically to assist attendees and participants of the Presidential Summit. Also intended for those who wish to engage in program and community development.

***The Internet Guide to National Service Networking**
Corporation for National and Community Service
Basic information about the internet designed especially for national service programs. Includes how to get on-line, useful resources for service programs, common problems, and general advice to managers and participants.

*** ‡The Resource Connection**
National Service Resource Center
Newsletter produced three times per year, with each newsletter on a topic of relevance to national service programs.

Topic Bibliographies
National Service-Learning Clearinghouse
Citations and abstracts of literature on topics relevant to service-learning. Topics include: At-Risk/Resiliency Issues; Civics, Social Studies and Service; Differently-Abled Students Performing Service; English Language, Arts and Service; ESL/Bilingual Students Performing Service; Impacts and Effects of Service; Intergenerational Learning; Math, Science and Service; Mentoring and Service; and Service and the Environment.

*** ‡Training & Technical Assistance Resource Guide**
National Service Resource Center
Listing of national training and technical assistance providers funded by the Corporation for National and Community Service. Includes contact information and an overview of services and resources available.

***Available from ETR Associates/National Service Resource Center**
‡ Available on the National Service Resource Center's website: www.etr-associates.org/NSRC/

*** Available from ETR Associates/National Service Resource Center**
‡ Available on the National Service Resource Center's website: www.etr.org/NSRC/

NOTES:

D. Corporation for National and Community Service State Offices

Alabama
Betty Platt
Medical Forum
950 22nd Street, North, Suite 428
Birmingham, AL 35203
Phone: 205-731-0030
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e-mail: AL@cns.gov

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Seattle, WA 98174-1103
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G. RESOURCE DEVELOPMENT

I. INTRODUCTION

Before a Resource Development Strategy can be developed it is important for a program to know exactly what its needs and capabilities are for providing services. Once the program has identified what its long and short-term needs are, it can then evaluate the capabilities of both staff and volunteers in developing needed resources.

To determining the needs of the program classify them into three areas:

- Money
- Services
- Goods

After determining the program needs in each of the three areas, you will have to determine the sources of supply to pursue. Some of the various sources available include:

- Government funding
- Voluntary sector
- Foundation funding
- Corporate funding
- Individual donors
- Fee for service
- Social entrepreneurship

The program should not limit itself to one funding source. The more funding sources the program has, the less dependent it will be on any single source.

II. IDENTIFICATION OF NEED

To determine program needs examine two major areas: program services and program resources.

NOTES:

1. **Program Services** includes an analysis of the current activities of the program. It is important to examine:

   - The current services you are providing
   - The need to expand the services
   - The need for new services
   - The resources that will be required to provide the services

2. **Program Resources** is an analysis of the current staff and volunteers' capabilities as they relate to resource development and also what the need for additional staff would be if services were expanded. Included in this would be identifying the strengths of the staff, their contacts in the community and with potential funding sources. Also determine what contacts the Program has with potential funders and what tools the program has to strengthen those contacts. Finally determine the plan and resources available for resource development.

RESOURCE DEVELOPMENT

Activities include reviewing your current sources of funding and what you would like to get in the future from the following:

- Government
- Foundations
- Corporations
- Individuals

This area also consists of an analysis of the program's experience and success with securing resources from each of the above sources.

NOTES:

IDENTIFYING POTENTIAL RESOURCE PROVIDERS

- **GOVERNMENT FUNDING**
  The government provides funds for various types of services and programs through unconditional, categorical and block grants. These funds can be disbursed on a competitive, entitlement, or non-competitive basis. The Federal Government also donates or sells, at a minimum cost, various types of surplus property. Despite the cutbacks in federal spending, government is still the main source of support for most programs. The government application procedures are long and differ from agency to agency. It is important to research government agencies before applying for government funds.

- **FOUNDATION FUNDING**
  There are five different types of foundations: general purpose, community, special purpose, family and corporate foundations. Foundations gave 14.3 billion dollars in 2003.

  Generally, foundations are interested in demonstration projects, cooperative efforts between organizations, seed money, research, resource centers, projects targeted for specific areas, and projects for which public funding is not available.

- **CORPORATE FUNDING**
  Most corporations do little giving. Thirty-five percent of the corporate contributions are made by 500 corporations. Corporations donate around 1% of their pretax profits, even though by law they can give up to 10%. Corporations gave 13.46 billion dollars in 2004.

  Corporations are interested in giving grants that help in corporate goal attainment, provide benefits to employees, improve the environment for corporate operations, improve the political or social climate, increase citizen productivity, or improve the corporation's reputation.

- **INDIVIDUALS**
  The majority of non-governmental giving comes from individuals. Individuals represent 76.3 percent of total giving. Individuals gave 240.72 billion dollars in 2002.

NOTES:

III. POSITIONING THE PROGRAM TO SECURE RESOURCES

To maximize the program's capabilities to generate resources it is very important that the program has support from the public and potential funders. This is accomplished through public recognition of a need and acceptance of the approach to be used to meet that need. It also requires that the program be able to respond to opportunities as they become available and that the program be able to create opportunities when necessary. This is done through the development of two components: resource providers, and staff/volunteers of the program.

1. **Resource Providers**. Resource providers include anyone who provides the program with money, supplies, political influence, and services. Money is supplied by the government, foundations, and/or corporations. Goods could be anything from food to equipment. They are given by the government, corporations, individuals, or other organizations. Political influence can originate in the Program, certain individuals, or by association with various organizations. Services come from all outside individuals and organizations who are willing to provide time to the program.

2. **Staff/Volunteers.** Resource providers supply you with money, goods, and time which enable you to provide services. The staff and volunteers are the individuals who transform resources into services. The extent to which your program can secure resources will depend largely on the capability of your staff and volunteers at providing services and the quality of those services. The extent to which they will be able to turn resources into services will depend on how you are organized, the kinds of knowledge and skills the staff/volunteers possess, and commitment to the program.

After you have identified your potential resource providers, staff, and volunteers, the challenge is to match them to optimize the programs and your grantsmanship potential. Certain funding sources will be more interested in the services provided by certain staff or the outcomes of the services.

NOTES:

Once you have analyzed the components and identified a match it is then time to develop a strategy for increasing resources. In developing the strategy you must concentrate on the following:

- Products: the program's services and the outcomes of those services.
- Price: the cost of services and program operations. This not only includes the dollar cost but the social, psychological, and opportunity costs.
- Place: the location of the program and its services geographically and in time.
- Public relations: the activities which inform and educate the public about your program's services.

IV. PUBLIC RELATIONS

It is important to know the positions and interests of the Program. It is important to examine the following:

- What are the assets of the Program?
- What audiences are you now reaching?
- What new audiences do you want to reach?
- What are you telling people about your program?
- What is your image like?
- What actions are you seeking from the audiences you reach?
- What kind of feedback do you get?
- What action plans do you have for your public relations activities?

Always consult with the Program on their current public relations, so that you can build upon the Program's work.

The six steps to developing a Public Relations Plan include:

Step 1 - Auditing your current Public Relations. - Everything anyone might discover about your program should be noted here, including successes, disasters, needs, and future plans. You must know your current plan, your program's image, and the kinds of help you want

Step 2 - Public Relations Objectives - First you must examine your long range Public

NOTES:

Relations goals, what you want to happen in the next 2-3 years. Then you will look at the short-range objectives for your Public Relations, which may be as simple as developing a brochure, or a power point presentation.

Step 3 - Audiences - Examine what you know about the people you are already reaching, and those you wish to reach in the future. As you guess or discover their interests and affiliations, you will be able to determine how they will feel about your program and the Public Relations materials you have developed.

Step 4 - Messages - This is the best way to tell your audience what action you want them to take on your behalf. You must determine how your program will benefit the audience, and what words or symbols they will best respond to.

Step 5 - Media - From the multitude of choices, you must choose the media that your audience is most likely to be interested in reading or hearing or watching.

Step 6 - Action Plan and Budget - This summary document tells you how you will implement your Public Relations planning. You must develop a budget that includes cost-benefit analysis of various choices, as well as the staff time needed for your efforts. The feedback and response component of your action plan will show how effective your efforts have been, and what adjustments you must make in the future.

NOTES:

PUBLIC RELATIONS ASSESSMENT QUESTIONNAIRE

1. PROGRAM NAME AND ADDRESS

2. WHO IS RESPONSIBLE FOR YOUR PUBLIC RELATIONS?

3. WHAT IS YOUR CURRENT BUDGET FOR PUBLIC RELATIONS?

4. HOW OFTEN IN THE PAST YEAR HAVE YOU DONE THE FOLLOWING?

_____ Press Release
_____ Press Conference
_____ Brochure
_____ Letterhead/logo
_____ Mailing to potential Sources
_____ Power point presentation
_____ Contacting current and potential funding sources
_____ Radio spot or announcement
_____ Slide show
_____ Pubic service announcement
_____ Video
_____ Other _____

5. DO YOU CURRENTLY HAVE:

_____ Logo
_____ Letterhead
_____ Brochure
_____ Power Point Presentation
_____ Video
_____ Slide Show
_____ Poster
_____ Web Site

6. WHAT IS YOUR PROGRAM'S ATTITUDE TOWARDS PUBLIC RELATIONS?
Is it considered: _____Important _____ Peripheral _____ Unimportant?

7. DO YOU NEED TO IMPROVE:

_____ Funding Source Contacts
_____ Potential Funding Source Contacts
_____ Program Contacts
_____ Brochures or Printed Material
_____ Visual Materials
_____ Other
_____

8. WHAT PROBLEMS TO YOU FACE IN YOUR PUBLIC RELATIONS?

9. WHAT IMPROVEMENTS WOULD YOU LIKE TO SEE IN YOUR PUBLIC RELATIONS?

DO YOU USE PUBLIC RELATIONS TO CULTIVATE CURRENT AND POTENTIAL FUNDERS?

AREA	YES	NO	SUGGESTIONS
1. Do you send clippings of articles about you with your proposal?			
2. Do you have brochures and other printed material that are the hallmarks of the program?			
3. Do any of your reports double as a sales-piece, showing how effectively your program and staff have worked?			
4. Do you use media exposure to build support for your program?			
5. Do you use media exposure to reinforce your resource development activities?			
6. Do you publicize new directions for your program, or new projects, so that funding sources are aware of your work?			
7. Do you ask for assistance, so that your funding sources feel that you need more help when you are facing special problems?			
8. Do you use Public Relations to make your issues and programs news and public knowledge--for your funding sources and the general public?			
9. Do you publicize the success of your staff and program so that you become identified with your successes?			

V. VOLUNTEERS

Volunteers can be used in a number of ways to support programs. The most common activities are:

- Providing services
- Performing administrative tasks
- Public relations
- Fund raising
- Policy making and advertising

The steps involved in designing a volunteer program include:

Step 1: Identifying the need for volunteers

Step 2: Developing job descriptions for volunteers

Step 3: Training staff on the volunteer program

Step 4: Recruiting volunteers

Step 5: Training volunteers

Step 6: Supervising volunteers

Step 7: Recognizing volunteers

NOTES:

DESIGNING A VOLUNTEER POSITION

VOLUNTEER POSITION: _____

ELEMENTS OF WORK	
1. The Activity to be Performed	_____ _____ _____ _____ _____ _____ _____
2. To Accomplish The Result	_____ _____ _____ _____ _____ _____ _____
3. Using the Following Methods	_____ _____ _____ _____ _____ _____ _____
4. Supervised by:	_____ _____ _____ _____ _____
5. Timeframe	_____ _____ _____ _____ _____ _____ _____

VOLUNTEER JOB DESCRIPTION

1. **TITLE OF JOB:**_____

2. **SUPERVISED BY:**_____

3. **DUTIES AND RESPONSIBILITIES:**

_____

_____

_____

_____

_____

_____

_____

4. **HOURS REQUIRED:**_____

5. **QUALIFICATIONS:**

_____

_____

_____

_____

_____

_____

6. **LOCATION:**_____

VI. GRANTS

12 STEPS TO GRANT SUCCESS

1. **Learn about the sources of grant funding**
2. **Examine your attitudes towards grantsmanship**
3. **Structure your program to maximize your ability to win grants**
4. **Develop fundable ideas**
5. **Research the grants market**
6. **Pinpoint the most likely sources of grant support**
7. **Effectively manage the initial contact**
8. **Write and submit your proposal**
9. **Follow-up**
10. **Deal effectively with the grant interview**
11. **Make the most out of the funding source's decision**
12. **Develop continued grant support**

RESEARCHING THE FUNDING SOURCE

GOVERNMENT FUNDING

Government agencies are mandated to support legislated programs and they need good applications and good providers. Government programs can be researched in the following publications.

- **Catalogue of Federal Domestic Assistance**.
  Available from the Superintendent of Documents. Most public and university libraries have it. The Catalog of Federal Domestic Assistance provides the following information.
  - Which federal agency sponsors which program
  - Legislation under which the program was established
  - Criteria for eligibility for applicants
  - Deadlines for application
  - Funding levels
  - Contact names & telephone numbers
- **Website:** www.cfda.gov
- **State Catalogs** - call the Governor's office.

NOTES:

FOUNDATION FUNDING

There are over 35,000 private foundations in the United States. Most foundations will support only pioneering or innovative projects. The types of foundations include general purpose, special purpose, family, and corporate.

- Research materials
  - Foundation Center
  - State directories
  - Publications
  - Foundation Center (four Offices) Atlanta, Cleveland, New York, San Francisco, Washington, D.C.
    105 Cooperating Collections
    79 Fifth Avenue
    New York, New York 10003
    (212) 620-4230
    Website: www.fdncentec.org

NOTES:

PROSPECT WORKSHEET

Focus on Funders Whose Priorities Closely Match Your Project

DATE:	FUNDER:	YOUR ORGANIATION:

1. NAME:_____
   ADDRESS:_____
   CONTACT PERSON:_____

2. FINANCIAL DATA
   Total Assets _____
   Total Grants Paid _____
   Grant Ranges/Amount Needed _____
   Period of Funding/Project _____

3. Subject Focus
   (List order of importance)
   a.) _____
   b.) _____
   c.) _____

4. Geographic Limits:

5. Type(s) of Support:

6. Population(s) Served:

7. Type(s) of Recipients:

8. People: (Officers, Donors, Trustees, Staff)

9. Application Information:
   Does the funder have printed guidelines/application forms?
   Initial approach (letter of inquiry, formal proposal)
   Deadline(s):
   Board Meeting Date(s);

Sources of Above Information

- ☐ 990-PF (Year:)
- ☐ Annual Report (Year:)
- ☐ Requested
- ☐ Directories and grant indexes
- ☐ Grantmaker Web site
- ☐ Received

Notes:

Follow-up:

COMPONENTS OF A PROPOSAL

1. **Program Description**

2. **Introduction**

3. **Problem Statement**

4. **Goals and Objectives**

5. **Methods**

6. **Budget**

1. PROGRAM DESCRIPTION

The program description is a very important part of a proposal – not just something you jot down as an afterthought. There may be a box for a summary on the first page of a federal grant application form. When you write to a foundation, the program description may be presented as a cover letter, or the first paragraph of a one-page proposal. The program summary is probably the first thing a funding source will read. It should be clear, concise and specific. It should describe who you are, the scope of your project, and the projected cost.

Describe the Program:_____

Describe the Project:_____

2. INCLUDE IN THE INTRODUCTION

- History of the Program
- Demographics of the Program
- Some of the most significant accomplishments
- Goals
- What support you have received from other organizations and prominent officials.

1. Demographics of the program: _____
_____
_____
_____
_____
_____

2. What are you most proud of in your program?_____
_____
_____
_____
_____
_____
_____

3. What is your best service?_____
_____
_____
_____
_____
_____

4. What agencies do you coordinate with?_____
_____
_____
_____
_____
_____

5. What makes your program unique from other programs?_____
_____
_____
_____
_____
_____

3. THE PROBLEM STATEMENT

- Describes the need(s) or problem that will be addressed
- Identifies the target population(s)
- Educates the reader regarding the issues
- Supports your choice of approach
- Motivates the funder to help

The problem statement (or needs assessment) is a key element of a proposal that makes a clear, concise, and well-supported statement of the problem to be addressed.

The information provided should be both factual and directly related to the problem addressed by the proposal. Topics to develop are:

- The purpose for developing the proposal
- The beneficiaries: who are they and how will they benefit.
- The social and economic costs to be impacted.
- The nature of the problem (provide as much hard evidence as possible).
- How the Program came to realize the problem exists, and what is currently being done about the problem.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.

NOTES:

- Most importantly, the specific manner through which problems might be solved. Review the resources needed, considering how they will be used and to what end.

Do not just assume the "everybody knows this is a problem..." That may be true, but it does not give a funding source any assurance about your capabilities if you fail to demonstrate your knowledge of the problem. You should use some keys statistics here from the community assessments you have been conducting on an annual basis. Do not fill your proposal with tables, charts, and graphs. If you use extensive statistics, save them for an appendix, but pull out the key figures for your problem statement. Know the statistics you are using.

- Make logical connection between the Program's background and the problems and needs with which you propose to work.

- Support the existence of the problem by evidence. Statistics, as mentioned about, are but one type of support. You may also get advice from groups in your community concerned about the problem, from prospective clients, and from other organizations and professionals in the field.

NOTES:

PROBLEM STATEMENT

1. What is the problem? _____

2. What information can you use to clarify the nature of the problem? _____

3. What will be the result if the problem is not addressed? _____

4. GOALS AND OBJECTIVES

GOAL
A broad general statement of what the program hopes to accomplish, the long-range benefit.

OBJECTIVES
A measurable time-specific outcome, which is expected to be achieved as part of the grant.

OBJECTIVES DEFINE:

- **WHO**
- **WHAT**
- **WHEN**
- **WHERE**
- **HOW**

NOTES:

OBJECTIVE WORKSHEET

1. Activity: (Describe briefly the activity)

_____

_____

_____

2. Result: (Explain what change the activity will produce)

_____

_____

_____

3. Measure: (Describe what method will be used to determine if change occurred)

_____

_____

_____

4. Standard (Define the level of success)

_____

_____

_____

5. Beneficiaries (Who or what will benefit)

_____

_____

_____

6. Write the objectives

_____

_____

_____

5. METHODS

You have now told the funding source who you are, the problem(s) you want to work with, and your objectives (which will be a solution to or reduction of the problems) and now you will detail the activities required to achieve the objectives. Each activity will have a purpose, timeframe for completion, and the individual responsible for completing the activity.

ACTIVITIES	PURPOSE	TIMEFRAME		INDIVIDUAL RESPONSIBLE
		Start	End	

6. BUDGET

The Budget is the dollar expression of the project being proposed. It is an estimate of the expenses that you anticipate.

PERSONNEL

- ***Wages and Salaries***

In this section you list all full- and part-time staff in the proposed project, the number of hours they will work on the project, and the rate per hour.

- ***Fringe Benefits***

In this section list all the fringe benefits your employees will be receiving, and the dollar cost of these benefits. Some fringe benefits are mandatory.

- ***Consultants & Contract Services***

This is the third part of the Personnel section of the budget. In this section you include consultants and services you contract out.

NOTES:

NON-PERSONNEL

- ***Space Costs***

In this section list all of the facilities you will be using. Rent must be comparable to prevailing rents in the geographic area in which you are located. In addition to the actual rent, you should also include the cost of utilities, maintenance services and renovations, if they are absolutely essential to your program.

- ***Rental, Lease or Purchase of Equipment***

List all of the equipment to be purchased that will be used in the proposed program.

- ***Consumable Supplies***

This means supplies such as paper clips, paper, pens, pencils, etc. If you have any unusual needs for supplies - perhaps you mare making a workroom available for community persons - then put in a separate figure for that.

- ***Travel***

Divide the section up into local and out-of-town travel. Do not put in any big lump-sum which will require interpretation or raise a question at the funding source.

- ***Telephone***

Put in the number of instruments you will need times the expected monthly cost per instrument. Justify any extensive out-of-town calling that you will have to do.

NOTES:

- ***Other Costs***

This catch-all category can include the following:

1. Postage
2. Fire, theft and liability insurance
3. Dues in professional associations paid by the agency
4. Subscriptions
5. Publications, the cost of which may be broken up into:
    - Printing
    - Typesetting
    - Addressing, if done by a service
    - Mailing (separate and distinct from office postage above)
6. Any other items that do not logically fit elsewhere.

INDIRECT COSTS

NOTES:

PROPOSAL BUDGETS

Name of the Project: _____

Scope of Work. _____
_____
_____
_____

Staffing. Staff time required. Also list staff that will work on the project, if applicable.___
_____
_____
_____
_____

Travel. The number of trips, traveler destination, and duration. _____
_____
_____
_____
_____

Supplies. Any special supplies that will be needed; i.e. notebooks for training manual.
_____
_____
_____
_____

Project Specific Needs.
_____
_____
_____
_____

Date Proposal Is Being Mailed _____

VII. SOCIAL ENTREPRENEURSHIP

Social entrepreneurship is the development of projects or activities that generate money.

LIST THREE ACTIVITIES THAT YOU COULD DO THAT COULD GENERATE MONEY

1. _____

2. _____

3. _____

Prior to beginning any entrepreneural activity prepare a business plan. The business plan will assist in determining if the activity will be successful.

NOTES:

RESOURCE NEED

Program:_____

List two program resource needs: (i.e., van to transport Corps members)

1. _____

_____

_____

_____

2. _____

_____

_____

_____

_____

For each program need list three ways that can be used to meet the need.

NEED	A.	B.	C.
1.			
2.			

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