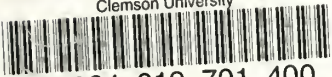


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URBAN PARK AND RECREATION RECOVERY PROGRAM

INNOVATION AND REHABILITATION GRANTS

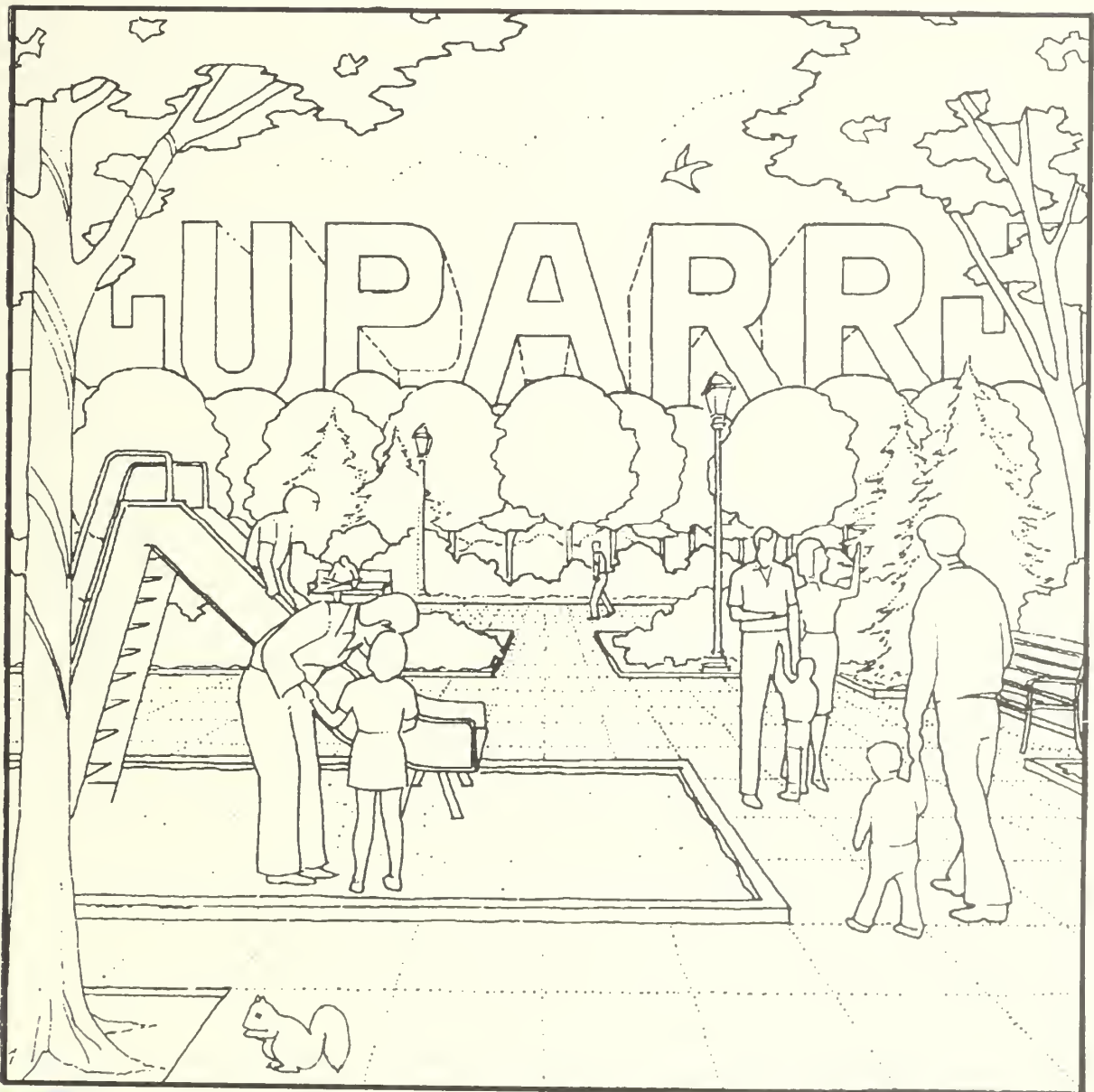
**PREAPPLICATION HANDBOOK**


REVISED - NOVEMBER 1990

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Preapplication Handbook

Urban Park and Recreation Recovery Program

Innovation and Rehabilitation Grants

Revised - November, 1990

Recreation Grants Division

National Park Service

United States Department of the Interior



## Introduction

This Handbook has been prepared to assist you in your competition for funding under the Urban Park and Recreation Recovery (UPARR) Program. Its intent is to help local governments prepare preapplications for Rehabilitation and Innovation grants.

The Urban Park and Recreation Recovery Act of 1978 (Title X of Public Law 95-625) established a grant program to help physically and economically distressed urban areas improve recreation opportunities for their residents. This program provides grants to local governments to rehabilitate existing indoor and outdoor recreation facilities; to demonstrate innovative ways to enhance park and recreation opportunities at the neighborhood level; and to develop local Recovery Action Programs that identify community needs, objectives, action priorities and strategies for revitalization of the total recreation system.

There are a number of distinct elements which comprise a preapplication. Each of these elements must be addressed as completely and accurately as possible since grant offers are made on the basis of this information. An applicant may have no more than one Rehabilitation and one Innovation proposal under consideration at one time.

Rehabilitation and Innovation grants will be awarded by the National Park Service (NPS), Washington, D.C. Recovery Action Program (RAP) grants will be awarded by NPS regional offices. RAPs (or, if necessary, an updated plan) must be approved by the appropriate NPS regional office before preapplications for rehabilitation or innovation grants may be submitted.

Each proposal will be one of many submitted for consideration. Competition for UPARR grants will be strong due to limited funds. It is important that applicants take the time to prepare and submit top quality preapplications. The care taken in preparation can be a major factor for assuring UPARR funding. Three essential items to be addressed in every preapplication are: 1) what is planned to be done, 2) why should it be done, and 3) how will it be accomplished.

This handbook does not contain all federal requirements for grant applications or grant administration. When a jurisdiction's proposal has received a tentative grant offer, the successful grantee will be notified and assistance in the completion of full grant agreements and forms will be available from the NPS regional offices.

THIS HANDBOOK COVERS ONLY PREAPPLICATION REQUIREMENTS FOR REHABILITATION AND INNOVATION GRANTS.



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## SOME POINTS TO REMEMBER

- \* All applicants for UPARR Rehabilitation and Innovation grants must have an approved Recovery Action Program on file prior to submission of preapplications.
- \* Remember the intent of the UPARR program, and thus its highest priorities are:
  - o Close to home, neighborhood facilities
  - o Distressed areas
  - o Facilities that are closed or in critical need of repairs
  - o Total or comprehensive rehabilitation approaches
- \* The preapplication must be submitted to your State's Single Point of Contact (SPOC) for EO 12372 intergovernmental review at least 60 days prior to submission of grant proposals to NPS. Your NPS Regional Office can provide the name and address of the applicable SPOC.
- \* Provide enough detail to ensure that reviewers of your proposal have adequate information. This is especially true when showing breakdowns of estimated costs or the time required for project completion. Be sure that cost estimates are substantiated by adequate site investigation, field study, or other items that may be used as the basis of establishing estimates.
- \* Be sure your figures are as accurate as possible; use actual figures when available. Recheck all computations and totals. Explain the use of formulas or factors. Cost overruns for UPARR funded projects cannot be recouped through increases in the Federal matching share.
- \* Good photographs as well as maps, graphs, or well prepared sketches should be used to illustrate points not easily explained in writing. Graphic material should be well captioned to help reviewers understand their relevance to project justifications.
- \* Applicants may have no more than one Rehabilitation and one Innovation proposal in competition at any one time.
- \* For questions regarding forms, circulars, or compliance issues, contact NPS regional offices. See Appendix J for a listing of regional offices.
- \* When in doubt, ask your NPS regional office for guidance.

## TYPES OF GRANTS

There are three types of grants available under this program: Rehabilitation, Innovation, and Recovery Action Program (RAP) grants (which are not covered by this publication). An applicant may have no more than one Innovation and one Rehabilitation proposal under consideration at any time. The UPARR Ten-Year

Impact Report may be obtained from NPS for a sampling of the types of projects which have previously been funded.

RAP grants are matching funds (50 percent Federal/50 per cent local) for planning to aid localities in development of park and recreation Recovery Action Programs required for participation in the UPARR program. They may be used to fund preparation of resource and need assessments, coordination, citizen involvement, and policy development activities which contribute to public definition of recovery goals and priorities.

Rehabilitation grants are matching grants (70 percent Federal/30 per cent local) to eligible local governments for remodeling, rebuilding, expanding, or developing existing outdoor or indoor recreation areas and facilities. These grants will be targeted to rehabilitate existing neighborhood areas and facilities which have deteriorated to the point where health and safety are endangered or the community's range of quality recreation service is impaired. Proposals must be designed to provide recreation services for residents within a specific service area identified by the applicant. Rehabilitation proposals may contain improvements at multiple sites or facilities, each of which should be individually addressed.

Innovation grants are matching grants (70 percent Federal/30 percent local) which must be designed to demonstrate innovative and cost-effective ways to enhance park and recreation opportunities at the local level. The intent of the Innovation grant is to test new ideas, concepts, and approaches aimed at improving facility design, operations, or programming in the delivery of neighborhood recreation services. Innovation grants should also contribute to a systems approach to recreation by linking recreation services with other critical areas of service, such as transportation, housing, health and public safety, water quality programs, energy conservation, crime prevention and so forth. The innovative proposal should demonstrate a concept that is untried, unique, and/or advances the state-of-the-art of recreation. Ideas demonstrated before, or in use elsewhere, may be considered for funding if the applicant has identified and addressed the question of the special nature or circumstances surrounding the proposed project. Because the long range intent of Innovation grants is to support and demonstrate a great variety of ideas,

only one or two proposals having a similar emphasis or approach will be funded. Innovation proposals that affect or include sites or facilities must be oriented to a single purpose or basic innovative idea or approach.

Ideas from successful innovation proposals will be disseminated nationwide through annual progress reports to the Congress and through the ongoing technical assistance efforts of NPS. Contact your NPS Regional Office for examples of approved proposals from prior grant rounds. Because the legislation limits the funds available for innovation grants (not more than 10 percent of funds authorized), the majority of Innovation grants funded will be monetarily small.

### Basic Categories of Innovation Proposals

Types of Innovation proposals that can be funded are suggested by, but not limited to, the following categories:

1. The unique integration of recreation with other community services, such as transportation, public housing and public safety, accomodation of the recreation needs of the aging population; either to expand or update current services, or to link programs within the social service structure of a community, such as through health and physical fitness programs.
2. New management and cost-saving or service-efficient approaches for improving the delivery of recreation services should be inherent in all Innovation proposals but may also be the prime focus of a proposal. Extending hours of operation, increasing the variety of recreation programs, contracting with commercial or private nonprofit agencies to supply specific recreation services, or assisting citizens in designing and operating their own programs, are examples of management approaches.
3. New approaches to facility design that emphasize user needs and preferences, and promote efficient operation and energy conservation.
4. New fiscal techniques to generate revenue for continuing operation and maintenance, such as tax credits.
5. Techniques for improving transportation and public access to recreation opportunities.
6. Techniques to facilitate private, nonprofit, and community organization involvement in providing recreation opportunities.
7. Improved use of land resources, such as utilizing abandoned railroads and highway rights-of-way, waterfronts, street spaces, or derelict land for recreation.

8. Adaptive reuse or multiple use of public or private facilities and areas. (Private areas or facilities must be opened to the general public to be eligible for assistance.)
9. Techniques to prevent or reduce crime, abuse, and vandalism, such as better design, non-destructible building materials, or use of community volunteers to supervise areas.
10. Communications and public awareness of recreation opportunities including education in leisure services, but excluding research.

### **STATE PARTICIPATION**

As an incentive for state involvement in the UPARR program and the recovery of urban recreation systems, the Federal government will match, dollar for dollar, state contributions to the local share on Innovation or Rehabilitation grants, up to 15 percent of the approved grant. The Federal share is limited to 85 percent of the approved grant.

Some states may have a program designed to provide local governments with financial assistance for the UPARR program. Some states may also assist local governments in the preparation and submission of UPARR applications. To determine what state assistance may be available, we suggest that applicants check with the state agencies responsible for recreation, conservation, natural resources, or community development. The NPS regional offices may be of assistance in the determination of potential availability of state assistance. NPS regional offices and the states they serve are listed in Appendix J. The amount and source of state assistance for a particular proposal must be specified at the time the preapplication is submitted. The commitment from the state must be signed by an authorized agent for the state and must be made for a duration sufficient to allow for Federal grant approval, including both preapplications and final application procedures. A commitment of at least six months is recommended. NPS must be notified immediately of any changes in the commitment. State matching contributions may be cash or in-kind. States may also contribute some or all of the matching share for Recovery Action Programs, however, no state incentive match is available in these cases from the Federal government.



## **PROGRAM ELIGIBILITY**

Eligible applicants for the UPARR program include designated jurisdictions listed in the Federal Register, October 9, 1979, and in any subsequent amendments. Applicants concerned about eligibility should contact the appropriate NPS regional office (see Appendix J for list of regional offices). In addition, general purpose local governments that are located within a standard metropolitan statistical area (SMSA) and are not included in the aforementioned list may compete as discretionary applicants for Rehabilitation, Innovation, and RAP grants provided that their applications meet the intent of the UPARR program. An applicant interested in discretionary funding must comply with the same requirements as the listed eligible jurisdictions including the preparation and availability of a RAP. In addition they must submit a narrative on the distress of the jurisdiction.

## **DISCRETIONARY APPLICATIONS**

A discretionary applicant must submit with each grant application a narrative statement, signed by the local chief executive, that explains and quantifies the applicant jurisdiction's state of physical and economic distress. Decisions on the eligibility of discretionary applications are based on the extent of distress indicated in the narrative statement and the merits of the proposal. Statistics and discussion on distress must relate, but are not limited to, the same criteria used to select eligible jurisdictions. The criteria for eligibility is contained in Appendix A of 36 CFR Part 72 and the Federal Register of October 9, 1979 (44 FR 58088). Grants to all discretionary applicants may not exceed 15 per cent of the funds appropriated in any fiscal year.

## **RECOVERY ACTION PROGRAMS**

It is a primary aim of the Urban Park and Recreation Recovery Act to stimulate on-going local efforts to revitalize and maintain troubled recreation systems. In addition to providing the immediate, visible benefits of grant assistance, the program is expected to serve as a catalyst for mobilizing private, state, and local resources in behalf of strengthened recreational systems.

A preapplication is not a required part of the RAP grant application process. Applicants for UPARR grant assistance are required to submit evidence of long-

term local commitments to recreation system recovery and maintenance. These commitments--to continuous programs for system planning, rehabilitation, operation, and maintenance--will be expressed in a RAP. RAPs must identify overall recreation system needs, objectives, problems, and opportunities related to physical facilities, service programs, system maintenance, and opportunities for coordination with other urban programs (community development, education, housing, transportation, and so forth). They must set forth action priorities and strategies in light of the needs and objectives identified and in response to the wishes of citizens as expressed in a well-defined public participation process. RAPs must be useful action guides for local citizens, Federal and state agencies, and others who may wish to support a community's recreation recovery efforts. The RAP will be used to evaluate requests for UPARR Rehabilitation and Innovation grants. No proposals will be certified for competition without an approved Recovery Action Program on file in the appropriate NPS regional office. Guidelines for preparation of a Recovery Action Program were published March 10, 1980, in the Federal Register. A Handbook for Recreation Planning and Action, available from all NPS regional offices, outlines the requirements.

## GENERAL PROGRAM INFORMATION

### Citizen Participation

The applicant must provide citizens with an opportunity to participate in the development of Rehabilitation and/or Innovation proposals and in the implementation, monitoring, and evaluation of activities supported through an awarded grant.

### Pass-Through Funding

At the discretion of the applicant jurisdiction, Rehabilitation and Innovation grants may be transferred, in whole or in part, to independent general or special purpose local governments, private nonprofit agencies or community groups, and county or regional park authorities that provide recreation opportunities to the general population within the jurisdictional boundaries of the applicant jurisdiction. The decision to pass-through funds is completely up to the applicant jurisdiction. Organizations, agencies, or governmental units seeking funding assistance on a pass-through basis must

work with, and apply through, the applicant jurisdiction. The applicant jurisdiction will bear full legal responsibility and liability for funds passed through to subgrantees. Applicants also bear responsibility for application preparation and submission, and for the administration and project monitoring of any pass-through grant made by it. Applications with pass-through provisions must include a number of certifications by the applicant jurisdiction regarding issues of legal authority to apply for the grant, coordination with the applicant's RAP, and control and tenure of property (check with NPS regional offices for a complete list). The applicant jurisdiction must certify, in the preapplication, that it will assume responsibility for any UPARR assisted property, and for the continued delivery of recreation services made possible through the grant in compliance with the provisions of the grant agreement in the event of a default on the part of the pass-through recipient.

#### **Staged Proposals**

When an applicant wishes to complete a project in a number of stages, the applicant may request UPARR assistance for all stages in a single application or proposal. In such cases, the three-year limit on construction still applies. If an applicant wishes to request funding for a single stage at a time, it must submit an application for each stage. Each stage must be structured in such a manner that it will increase the recreation utility of the property, or provide direct recreation opportunities, independent of subsequent stages. Funding of one stage of a multi-staged proposal in no way implies that subsequent phases will also be funded. Each proposal must compete separately and be evaluated on its own merits.

#### **Number of Properties/Elements in Each Proposal**

A jurisdiction's proposal must be oriented specifically to sites/facilities or services. Applications may be for systemwide neighborhood recreation sites/facilities or services, several specific sites/facilities or services, or a single site/facility or service. Higher priority is given to Rehabilitation proposals which service specific identified neighborhoods. Innovation proposals which include or affect multiple properties must be oriented to a single purpose, or one basic innovative category or approach. Innovation proposals may be nonproperty specific.

### Control and Tenure

Applicants must certify that any property to be improved or enhanced by UPARR assistance that was acquired after January 2, 1971, was acquired in conformance with P.L. 91-646, the Uniform Relocation and Land Acquisition Policies Act. Applicants should contact the appropriate NPS regional office for additional information about, and technical assistance in, complying with P.L. 91-646 certification requirements.

Applicants must certify that they have adequate control of and tenure over properties to be assisted through UPARR and must identify in their applications the type of control they have over those properties. Properties assisted through a UPARR grant may not be converted to other than public recreation use without the approval of the Director of NPS. Proposals that include lands or facilities not under adequate control or tenure will not be considered for UPARR assistance. Leases cannot be revocable at will by the lessor. The time remaining on leases must be a term sufficient, in the judgment of NPS, to insure a period of public use and enjoyment commensurate with the expenditure of UPARR funds and consistent with the constraints imposed by Section 1010 of the UPARR Act regarding conversion of use to other than public recreation use. The costs of acquisition are not eligible for assistance under the provisions of the Act.

Requests for permission to convert UPARR assisted properties must be submitted in writing and approved by the Director, and will be considered on a case-by-case basis. Properties assisted through UPARR and later converted to other than public recreation uses must be replaced. Replacement must assure the provision of adequate recreation properties and opportunities of reasonably equivalent location and recreation usefulness.

### Sources of Matching

State, local, and private funds may be used as the nonFederal share of project costs. General or special purpose state or local revenues, state categorical grants, and special state appropriations may be used. HUD Community Development Block Grant (CDBG) funds are the only Federal funds that may be used as part of the local match. If CDBG funds are used as all or part of the local match, the applicant must request a determination of the applicability



of the Davis-Bacon requirements from the Federal agency providing the matching share or portion of it.

NPS accepts in-kind contributions, including real property, buildings or building material, and equipment. The value of the contributions may be used as all or part of the matching share of project costs and must be appraised by the applicant and approved by NPS prior to project approval. Any type of service or assistance directly relating to the proposal and the provision of a recreation opportunity can be used as a matching share, including technical and planning services, construction labor, and management services. The availability and source of matching, including all in-kind matches, must be documented in all preapplications for UPARR assistance.

#### **Allowable Costs and Fundable Elements**

An applicant may apply for UPARR assistance only in an amount which, together with other public and private resources, will be available and is adequate to complete the proposal. UPARR assistance will be limited to those costs that actually will result in provision of recreation opportunities.

Once a proposal is approved based upon the preapplication, no increases in the amount of UPARR funding specified in the original proposal will be considered. Fundable elements in both Rehabilitation and Innovation proposals may include: materials and labor, site planning, architectural and engineering fees, and other costs for similar activities necessary to complete the approved project. In general, Office of Management and Budget (OMB) Circulars A-102 and A-87 will be used to determine allowable costs. Audit requirements will be subject to the provisions of OMB Circular A-128.

Rehabilitation funds may be used to improve parks, landscapes, buildings, and support facilities. Eligible rehabilitation costs may include, in addition to the actual rehabilitation work and materials, site planning and those costs necessary to properly conduct the approved project. Innovation proposals may include costs related to improved delivery of recreation services (including costs for construction materials and labor, recreation supplies and equipment, personnel, and training). The following items merit specific attention:

- \* **Administrative costs must not exceed 5 percent** of the total project cost. Applicants should describe the items and activities included as administrative costs so that NPS can evaluate their eligibility.
- \* Preapplication costs that are reimbursable (but only if the proposal is funded) are those reasonable architectural and engineering costs essential to the preparation of the UPARR proposal. These costs are reimbursable if incurred no earlier than nine months prior to receipt of the preapplication by the NPS regional offices.
- \* **Architectural and engineering fees must not exceed 12 percent** of the total project cost.
- \* Assistance for multi-service facilities must be prorated to those elements within the proposal necessary for the provision of recreation opportunities.
- \* Support facilities, equipment, accessibility, and landscaping are eligible only when they are well defined, included as part of an overall rehabilitation effort, and provide direct recreation opportunities and benefits to the population being served.
- \* Expansion will be eligible when the general category of sites/facilities or programs involved are:
  - o identified priorities in the jurisdictions's Recovery Action Program;
  - o the expansion does not subsequently increase the personnel or maintenance costs of the jurisdiction's recreation system;
  - o All neighborhood facilities are up to standard and no rehabilitation is needed; and
  - o the extent, volume, scope or quality of recreation opportunities to residents of distressed areas is increased.
- \* Any costs incurred for travel outside the local applicant's jurisdiction will not be reimbursable without prior approval from NPS.
- \* Consultant's fees for application development are not reimbursable.

#### Items Excluded From Funding

The Act excludes UPARR assistance for major sports arenas, exhibition areas, and conference halls used primarily for commercial sports, spectator, or display activities. Also excluded are routine operations, maintenance and upkeep activities, and acquisition of land or interests in land. Proposals, or elements of proposals, that are primarily intended to attract or provide recreation for tourists or other visitors from outside of the system's service area, or proposals whose primary objective is the enhancement of the area's

economy through attraction of visitors, will not be considered. Proposals that consist entirely of new development are not eligible for UPARR Rehabilitation assistance. No new parks or facilities will be created with Rehabilitation grants.

### PREAPPLICATION PROCESS

Jurisdictions are cautioned to follow the steps below when submitting applications for rehabilitation or innovation grants under the UPARR program. Following these steps should help avoid the possibility of submitting proposals which are technically inadequate or not within the intent of the UPARR legislation. Use of the suggested format enables reviewers of the individual proposals to easily find information and documentation when proposals are ranked and evaluated.

- 1) Contact the appropriate NPS regional office for program information and technical assistance.
- 2) Prior to submission of Rehabilitation or Innovation grant proposals, you must submit and have approved, a Recovery Action Program. No Rehabilitation or Innovation grant proposal will be certified for competition without this document.
- 3) Read through this handbook and request assistance if you have any questions or problems.
- 4) Determine the scope of the proposal. This should be in accord with your approved RAP and the availability of matching funds.
- 5) Submit the completed preapplication to the appropriate EO 12372 State Single Point of Contact (SPOC) at least 60 days prior to formal submission of the preapplication to NPS. Jurisdictions are encouraged to submit an advance copy of the preapplication to NPS at this time. By giving NPS staff time to review the preapplication prior to its formal submission, later problems may be avoided.
- 6) Submit the formal preapplication (an original and two copies) to the appropriate NPS regional office.
- 7) If a proposal is selected for funding, the jurisdiction will be notified by the NPS regional office. Technical assistance will be provided in the completion of the formal grant agreement and application forms within the 120-day time limitations.

## PREAPPLICATION DOCUMENTATION

A number of distinct elements comprise a preapplication. Each must be addressed as completely and accurately as possible since grant offers are made on the basis of submitted information. An original and two copies of the preapplication must be submitted to the appropriate NPS regional office. With each preapplication for UPARR Rehabilitation or Innovation grants the following must be submitted (each of these requirements is discussed in greater detail on the following pages):

- \* Legal authority to apply
- \* A letter of transmittal
- \* OMB Standard Form (SF) 424
- \* Proposal description statement
- \* Narrative on selection criteria
- \* Maps
- \* 8"x10" Color photographs
- \* Project cost estimates
- \* Work progress time table
- \* Evidence of matching share
- \* Environmental and historic information

### Legal Authority to Apply

Every applicant must submit documentation, prior to or with the preapplication, indicating that the signatory on the grant proposal, SF 424 and the grant agreement possesses legal authority to apply for the grant in accordance with Office of Management and Budget (OMB) Circular A-102. Subsequent delegations of authority from the chief executive to departmental heads or other officials to sign UPARR forms or agreements must be documented and on file in the NPS regional office.

### Letter of Transmittal

This letter transmits the proposal to the NPS regional office and should be addressed to the Regional Director. The letter of transmittal must do three distinct things:

- 1) designate a project leader who will be the primary individual responsible for the implementation of the project, including the individual's name, title, address and telephone number;
- 2) certify that the applicant will comply with all NPS requirements for UPARR grants; and
- 3) identify the type of assistance being sought, Rehabilitation or Innovation.

The letter of transmittal must be signed by the chief executive of the applicant jurisdiction or his designee. The jurisdiction must submit with each preapplication, documentation indicating that the applicant possesses legal authority to apply for the grant. This information may be included in the letter of transmittal and should indicate that a resolution, motion, or similar action has been duly adopted or passed as an official act of the applicant's governing body. Such actions must authorize the filing of the application, and compliance with the grant agreement, including all understandings and assurances contained therein. Appendix B contains a sample letter of transmittal.

#### Standard Form 424

Standard Form 424 (SF-424) is prescribed by the Office of Management and Budget (OMB) Circular A-102. As part of this form, a brief abstract should summarize the overall proposed activities under the proposal. See Appendix C for instructions on completing SF-424, Appendix D for an example of a completed form, and Appendix E for a blank copy which may be removed and utilized by the applicant.

#### Proposal Description Statement

Each proposal must include a short background statement describing the intent of the proposal. For Rehabilitation grants this must include the names of each site/facility, its existing condition, why the condition exists, and what UPARR assistance will do to alleviate or remedy the condition or problem. The Innovation grants statement must describe the intended innovative approach, its unique characteristics, and its demonstration potential to the jurisdiction and the nation. Innovation narratives must also indicate the anticipated results and benefits of proposed actions to residents, the



approach/methodology used, and the process that will be used to evaluate the benefits and achievements for national demonstration purposes.

### Narrative on Selection Criteria

A narrative statement addressing the competitive selection criteria for the type of proposal to be considered must be included. It is from this narrative that proposals will be scored by evaluation panels and the competitiveness of the proposal determined. Responses should be succinct but specifically documented to give reviewers all the information necessary to evaluate the proposal. Each criterion must be addressed and each response must relate specifically to the proposal being submitted. The selection criteria are outlined in detail in Appendix A.

### Maps

Well-designed maps are important elements of the proposal. They not only strengthen a proposal's competitiveness, but also make reviews much easier. Most of the maps required are already available from departments or agencies within the jurisdiction. Where feasible, maps should be submitted only on 8-1/2" x 11" paper. (Appendix F contains sample maps.) Maps that must be included in the preapplication are:

General Location Map - This map shows the entire jurisdiction and locates the project(s).

Site Map(s) - The site map should graphically show existing facilities to be rehabilitated, project boundaries, and location of easements. Enough detail should be provided so reviewers will know what and where rehabilitation activities will occur. Labels, color coding, or some other device will help clarify actions being taken.

Demographic Map - The map must graphically indicate existing demographic characteristics, and the project(s) current and projected service area(s). Demographic characteristics to be presented are: percent of unemployment; population density; family income; percentage of minority populations; and any other appropriate data that supports the proposal narrative. This may be presented by census tract. The date of map preparation and the year the information was collected must be indicated. If multiple sites are involved it may be necessary to provide a map for

each site. Maps meeting the requirements of Section 1010 of the UPARR Act will be required at the final application stage. The area identified may not be converted to other than public recreation use without Federal approval.

### Photographs

All Rehabilitation proposals, and Innovation proposals which relate to sites or facilities, must contain 8"x10" photographs, including both outside and, if applicable, inside photos of each site/facility. These photos should concentrate on the deterioration which the proposal intends to remedy. Additional photos may be necessary to adequately portray existing conditions. Photos must include the name of the site or facility depicted, the jurisdiction's name, approximate date the photo was taken, and a short description of the scene depicted or problem to be remedied. This description should be typed on a white label and placed on the face of the photograph.

### Proposal Cost Estimates

Cost estimates must provide NPS and national selection panels enough information to determine what is being done. Appendix G contains a sample cost estimate.

For Rehabilitation grants, the cost estimate must indicate whether a site/facility is being repaired, replaced or expanded. The estimate must contain a breakdown of costs necessary for the completion of this proposal. Applicant jurisdictions must supply sufficient information on the types of activities to be undertaken and the related costs. If the proposal is a multiple-site proposal, costs must be displayed on a site-by-site basis. Costs cannot be increased once a tentative grant award is received; therefore, cost estimates should be sufficient to complete the outlined work.

For Innovation grant proposals dealing with adaptive reuse or construction, follow the instructions for Rehabilitation grants. For Innovation proposals dealing with programming or other non-capital activities, provide a list of job titles, the number of employees or volunteers with payroll costs, the types of services or supplies with costs for the period of the grant, and a

preliminary schedule of the time of year the innovative service and/or facility will be in operation and its general days and hours of operation.

### **Timetable**

A timetable, in months, must be prepared showing major milestones for completion of all proposed work to be assisted through UPARR. The starting date is the date that the grant is approved. Increments thereafter should be listed in months: for example, "month 2 - construction documents complete; month 5 - bids let; month 7 - begin construction," etc. Construction activities must be initiated by the end of the first full construction season following grant approval and must be completed within 3 years or 3 full construction seasons, whichever is longer. Any component of an Innovation proposal providing services or programs, must be started within one year from grant approval. The grant project term and expiration date for Rehabilitation and Innovation proposals will be established at the time of grant approval.

### **Evidence of Matching Share**

Documentary evidence of a jurisdiction's matching share may be a letter(s) of commitment from a donor(s), or a resolution, motion, or similar legally binding action that has been duly adopted or passed as an official act of the applicant's governing body. The letter or resolution must specify the source and amount of funds and the duration of the commitment, including both beginning and ending dates. Funds must be committed at the time of preapplication, pending award of grant. If the state has made a commitment to assist in funding, the same information is required in the state's letter of commitment. (See Appendix H for sample resolution.)

### **Environmental and Historic Information**

Applicants must consider environmental laws and executive orders to determine whether an environmental impact statement (EIS) or historic determination is required. To comply with the National Environmental Policy Act of 1969 (P.L. 91-190, as amended), NPS is required to assess the effects of all projects. Therefore, preapplications must contain sufficient information for NPS to determine whether an EIS or historical designation is necessary. Information should include both beneficial and adverse effects directly or indirectly resulting from the proposed project. Information should be factual and



concisely written. Project justification is not included in this information. Particular areas of concern include endangered species, historic or archaeological sites, HUD insurance maps or wetlands management, and impacts on water quality or waterways. Guidance will be available from NPS regional offices. If the proposal will require any sort of Federal or state permit or review (such as historic preservation review or flood plain permit), it is wise to begin those processes as soon as possible, prior to submission of the preapplication.

The State Historic Preservation Officer (SHPO) should be contacted to establish whether the proposed project site is now on, or appears eligible for inclusion on, the National Register of Historic Places. The SHPO's opinion must be sought regarding the effect project implementation will have on any such properties. If the site is on, or appears eligible for inclusion on, the National Register, a sometimes lengthy process must be completed prior to approval of the final application. It is therefore imperative that the possibility of such an occurrence be identified as early in the application process as possible.

After tentative grant approvals, jurisdictions have a maximum of 120 days to prepare full applications including all pertinent permits and reviews. NPS reserves the right to defer a proposal if it appears that the requirements for a full application cannot be met within 120 days.

#### Fees and Charges

Any fees or charges for membership or use of sites/facilities to be assisted with UPARR grants must be identified at the time of the application. This includes current as well as projected user fees following project completion. Discrimination on the basis of residence, including preferential reservation or membership systems and annual permit systems, on any property rehabilitated, developed, or otherwise assisted with UPARR funds is prohibited except to the extent that reasonable differences in admission and other fees may be maintained on the basis of residence.

### Control and Tenure

All applications must identify the type of control and/or tenure it has over properties to be assisted with the grant.

### Pass-Through Applications

Proposals with pass-through provisions must include a number of certifications regarding issues of coordination, control and tenure, and so forth.

### Discretionary Applications

Every discretionary application must be accompanied by a narrative statement explaining the state of physical and economic distress of the applicant jurisdiction. This narrative must be signed by the jurisdiction's chief executive.

### EO 12372 INTERGOVERNMENTAL REVIEW

EO 12372 requirements must be followed at both the preapplication and final application stages. The applicant's proposal must be forwarded to the State Single Point of Contact (SPOC) no later than 60 days prior to submission of the preapplication to the NPS regional office.

If a jurisdiction wishes to compress this process, it may do so only with the concurrence of the SPOC. The SPOC should be informed that most final applications will not be substantially different from the preapplication. Jurisdictions are encouraged to discuss their proposals with NPS regional staff prior to submission of the preapplication.

### PREAPPLICATION CERTIFICATION

Before a Rehabilitation or Innovation proposal can compete for funding under the UPARR program, it must be certified by an NPS regional office. This certification of the preapplication assures that the proposal meets minimum legal requirements and provides adequate information for evaluation and competition and is within the intent and scope of the UPARR program. Certification also minimizes problems in finalization of successful grant proposals. Certification assures that the following documentation requirements have been satisfied:

- 1) A Recovery Action Program has been approved for the applicant jurisdiction, and the proposal is in accord with the approved plan.
- 2) Legal authority to apply for the grant is on file.
- 3) EO 12372 intergovernmental review requirements have been met.
- 4) The grant purpose is within the intent of the UPARR Act and regulations.
- 5) Matching funds are adequately committed. The documentation of specific commitments of funds may include letters of commitment from donors (state or private) or a resolution, motion, or similar document from the applicant's governing body.
- 6) All requirements for a UPARR preapplication listed in this handbook are met.
- 7) Title VI compliance of the jurisdiction will be reviewed by NPS prior to proposal certification. If neither the proposal nor the Recovery Action Program provide for minority populations, the proposal will not be in compliance with Title VI regulations and cannot be certified.
- 8) 504 (Section 504 of the Rehabilitation Act of 1973) Self-Evaluation plan is on file.
- 9) Completion of all requirements for final approval can reasonably be expected within 120 days. All applicants are urged to ensure that their proposal has no environmental, historic or other problems which may indicate a delay in approval. NPS will withhold certification of proposals which it feels cannot be approved within 120 days.
- 10) If the proposal is deficient and cannot be certified, the applicant will be notified, deficiencies identified, and appropriate corrections suggested. NPS reserves the right to defer any proposal until documentation has been provided to substantiate a jurisdiction's preapplication claims.

### **PROPOSAL REVIEW AND EVALUATION PROCESS**

This information is provided so that you can better understand the procedures implemented by NPS in the selection of proposals in the UPARR program.

- 1) Preapplications are submitted to NPS regional offices by the chief executive of the applicant jurisdiction. They are reviewed for technical accuracy and competitiveness and certified.
- 2) Certified preapplication proposals are then ranked and evaluated by a regional panel against the selection criteria.
- 3) Competitive proposals within the established funding limits of the funding cycle are forwarded to the Washington Office of NPS.

- 4) All proposals undergo a technical review by the Washington Office.
- 5) Proposals are then reviewed by national selection panels and recommendations for funding are made. Separate panels are held for Rehabilitation and Innovation grants.
- 6) A panel's recommendations are forwarded to the Director of NPS for approval.
- 7) A national announcement of successful applicants is made.
- 8) Unsuccessful applicants are notified and assistance is offered by NPS regional offices in reworking the preapplication to make it more competitive for future grant rounds. An unfunded proposal may remain in the competition for two subsequent rounds without modification, after which it will be automatically returned to the applicant.

Major modifications of scope and/or total proposal cost will require complete resubmission of the proposal as a new preapplication. In such cases, the applicant must submit a written request for withdrawal of the previous proposal before submitting a new proposal in the same competition.

- 9) Successful applicants will be notified by NPS. Before NPS can obligate funds, the applicant will be required to complete a formal application, within 120 days, in compliance with A-102. Procedural guidelines for full applications will be provided to applicants receiving tentative grant offers. No changes in grant amount will be allowed during the final application stage, nor will amendments for additional funds be allowed at later stages. Successful applicants will be responsible for compliance with EO 12372 intergovernmental review requirements, and regulations contained in OMB Circulars A-102, A-87, and A-128 as well as all applicable Federal laws including but not limited to:

- \* Architectural Barriers Act of 1968 (P.L. 90-480)
- \* Clean Air Act and Federal Water Pollution Control Act
- \* Copeland Anti-Kickback Act
- \* Endangered Species Act of 1973 (P.L. 93-205)
- \* Executive Order 11246, Equal Employment Opportunity
- \* Executive Order 11593, Protection and Enhancement of the Cultural Environment
- \* Executive Order 11625, Arrangements for Developing and Coordinating a National Program for Minority Business Enterprise
- \* Executive Order 11988, Floodplains Management
- \* Executive Order 11990, Protection of Wetlands
- \* Executive Order 12088, Federal Compliance with Pollution Control Standards
- \* Executive Order 12185, Conservation of Petroleum and Natural Gas
- \* Flood Disaster Protection Act of 1973 (P.L. 93-234)
- \* Historical and Archaeological Data Preservation Act of 1974 (P.L. 93-291) 36 CFR 66
- \* National Environmental Policy Act of 1969 (P.L. 91-190)
- \* National Historic Preservation Act of 1966 (P.L. 89-665)

- \* Nondiscrimination Section 109 of the Housing and Community Development Act of 1974 (42 USC 5301) as amended
- \* Section 504 of the Rehabilitation Act of 1973
- \* Title VI of Civil Rights Act of 1964, Executive Order 11764
- \* Title VIII of the Civil Rights Act of 1968 (42 USC 3601) as amended, Executive Order 11063 (27 FR 11527)
- \* Uniform Relocation Assistance and Land Acquisition Policies Act of 1970 (P.L. 91-646)
- \* Drug Free Work Place Act of 1988 (P.L. 100-690; 43 CFR Part 12)
- \* Lobbying Restrictions (P.L. 101-121; 43 CFR Part 18)
- \* Stevens Amendment

- 10) The Director of NPS reserves the right to withdraw a grant offer if it is determined that the preapplication contains misstatements or misrepresentation of facts, or problems which cannot be resolved.





**APPENDICES**





## **Appendix A**

Rehabilitation and Innovation Selection Criteria



## Rehabilitation and Innovation Selection Criteria

Each of the following criteria should be addressed separately and numbered in the same order in a preapplication as they appear below. Statements should be succinct but specifically documented to give reviewers all the information necessary to score the proposal. Each criterion must be addressed and each statement must relate specifically to the proposal being submitted.

No proposal is expected to do well on every criterion, but each must be addressed. The following sections outline selection criteria for both Rehabilitation and Innovation grants, and identify those elements necessary to receive full scores. Sufficient documentation must be provided to substantiate claims made in the narrative. Too much documentation is better than too little.

Rehabilitation Grant Selection Criteria. Rehabilitation grant requests must address the following criteria. If the proposal submitted is a multiple site/facility Rehabilitation proposal, project by project or site by site responses must be made for criteria 2, 3, 4, 5, 6, 7, and 9. The remaining selection criteria (1, 8, and 10) need be addressed only once but must cover the entire proposal.

- 1) UPARR investment per capita. Higher priority will be given to proposals with lower costs per capita. Population figures for this per capita cost should be those given in Bureau of the Census estimates for the applicant jurisdiction. The dollar figure should be 70 per cent of the total proposal cost plus the total UPARR Rehabilitation or Innovation grant funds awarded to the jurisdiction during the fiscal year in which the proposal is submitted. (The 70 per cent figure should be used even if the Federal UPARR match is higher than 70 per cent due to a state incentive). A Federal fiscal year runs from October 1 to September 30.  
Example:

Round 1 - Center City, Census population estimate 53,162,  
receives a Rehabilitation grant offer of . . . \$100,000

70 percent UPARR match equals . . . . . 70,000

cost/capita =  $\frac{\$70,000}{53,162}$  or \$1.32

Round 2 - Center City receives Rehabilitation grant of  
. . . . \$230,000

70 percent UPARR match equals . . . . . 161,000

cost/capita =  $\frac{\$70,000 + 161,000}{53,162}$  or \$4.35

- 2) Provision of neighborhood recreation needs. Higher priority will be given to proposals serving neighborhood needs, lower priority to those serving area or jurisdiction-wide needs. A proposal will be considered:

- a) neighborhood oriented, if it is within walking distance of the majority of the population served;
- b) neighborhood/community oriented, if it is within walking or biking distance, or is readily accessible by public transit;
- c) jurisdictionally oriented, if it is intended to serve the entire community;
- d) regionally oriented, if it draws people from outside the community.

NOTE: County projects must be justified in terms of direct service to identifiable urban neighborhoods, and there must be evidence of cooperation between a county and its major city. County proposals that do not serve close to-home recreation needs of urban neighborhoods will not be competitive.

- 3) Condition of existing recreation properties to be rehabilitated. Higher priority will be given to proposals in which sites or facilities:
  - a) are closed or in danger of being closed due to age of facility, safety, health, code violation, overuse, etc.;
  - b) are essential to maintenance of existing high priority recreation services;
  - c) provide outstanding demonstration of resource, service and effectiveness, including energy conservation.
- 4) Improvement in the quality and quantity of recreation services as a result of rehabilitation. Higher priority will be given to proposals which:
  - a) significantly increase the type, variety or quality of recreation opportunities provided by the system;
  - b) will positively affect other recreation areas, facilities or services provided throughout the system, both public and private;
  - c) significantly increase the number of people served by the system (10 percent or more increase).
- 5) Improvement of recreation service to minority and low to moderate income residents, special population and distressed neighborhoods. Higher priority will be given to proposals that improve service to:
  - a) significant minority populations;
  - b) low and moderate income residents;

- c) neighborhood strategy areas;
- d) special populations, such as minorities, elderly, youth.

NOTE: If neither the proposal nor the Recovery Action Program provide for minority populations, the proposal will not be in compliance with Title VI regulations and cannot be certified.

- 6) Improvement of recreation service to handicapped persons. Higher priority will be given to proposals that improve service to handicapped persons:
- 7) Proposal's consistency with local government objectives and priorities for overall community revitalization. Higher priority will be given to proposals which:
  - a) will implement an identified portion of overall community and neighborhood revitalization plans (such as housing, transportation, employment), coordination within and between jurisdictional and/or regional and state agencies is encouraged;
  - b) are identified and supported by local citizens, public officials, or community agencies or groups;
  - c) address and seek to implement specific high-priority needs identified in the Recovery Action Program and other official local recreation or community service plans.
- 8) Neighborhood employment opportunities created. Higher priority will be given to proposals which:
  - a) assure that a high number and/or percent of new job opportunities created through the proposal will go to neighborhood unemployed or underemployed youth, minorities, or low income residents;
  - b) provide evidence of statues or policies of affirmative action hiring which will be followed in any employment generated by the UPARR grant.
- 9) State participation in the proposal, includes financial and technical assistance. Higher priority will be given to proposals from jurisdictions in states which:
  - a) have a signed agreement with NPS regarding UPARR participation;
  - b) provide a full 15 percent match for grant;
  - c) provide technical assistance to local governments in UPARR recreation planning, proposal design, implementation, or operation and maintenance of rehabilitated site/facilities;

d) are responsive to urban needs in other State recreation programs (such as regular apportionment of LWCF to urban areas).

10) Private sector participation in the proposal, including contributions of financial assistance. (Private sector includes both for-profit and nonprofit agencies and organizations.) Higher priority will be given to proposals in which the private sector provides:

- a) all required local matching funds (cash or in-kind contributions);
- b) project planning assistance;
- c) all operation and maintenance for sites/facilities improved through the proposal (through volunteer or other donated services or funding);
- d) "sweat equity" in rehabilitation efforts.

11) Jurisdiction's commitment to implementing its overall Recovery Action Program. Higher priority will be given to proposals in which:

- a) the jurisdiction has made significant progress in pursuing the implementation strategies in its Recovery Action Program;
- b) citizen participation and overall community support for recreation is expressed and reflected in the Recovery Action Program and in implementation actions;
- c) planning is a cooperative community agency effort, with adequate funding available.

#### Innovation Grant Selection Criteria

If the proposal is an innovation grant request, the selection criteria for innovation grants must be addressed. Ranking of innovation proposals for the adaptive reuse of non-recreation areas or structures, through rehabilitation for recreation must also address rehabilitation selection criteria, particularly the criteria covering Federal investment per person served and the degree to which the proposal would serve close-to-home recreation needs. The following criteria will be used to evaluate and rank Innovation proposals:

1) The degree to which the proposal provides a new, unique or more effective means of delivering a recreation service that can serve as a model for other communities. Higher priority will be given to proposals which:

- a) outline new ideas with national implications;
- b) have demonstration value and can be applied to improve the delivery of recreation service.



- 2) The degree of citizen involvement in proposal conceptualization and implementation. Higher priority will be given to proposals in which:
  - a) the idea came from the neighborhood, community, or from private agencies and organizations that have an established knowledge of the area and its people (such as ethnic, cultural, historic, block, social service groups);
  - b) the private sector (individual citizens, community groups, local business enterprises) has participated in proposal development and made commitments to aid implementation.
- 3) The degree to which the proposal may lead to a positive, systematic change in how park and recreation services are provided. Extent to which the proposal creates opportunities for new partnerships between the people affected, private interests within the community, and public agencies. Higher priority will be given to proposals which:
  - a) lead to a major positive change in the provision of recreation services;
  - b) create new partnerships between citizens, public agencies, and private interests, such as the mayor's office, recreation department, board of education, planning department, social services agencies, neighborhood development councils.
- 4) Degree of commitment of community and proposal participants to continue long term program objectives, including commitments to continue funding after the requested Federal grant money is no longer available. Extent of private resources committed to providing funds or in-kind services for continuing operation and maintenance of projects. Higher priority will be given to proposals in which:
  - a) community and proposal participants have made a formal commitment to continue full funding;
  - b) the private sector (business and industry) is committed to continue funding of operation and maintenance.
- 5) The degree to which proposal managers use the Federal funds to leverage greater public or private investments (in the form of services and materials, as well as dollars). Higher priority will be given to proposals in which the leveraging of public and private investments is guaranteed and such guarantees are documented. Lower priority will be given to proposals in which the leveraging aspects are in the planning stages.
- 6) Degree to which the proposal provides potential coordination with other community, state and Federal programs of community development and those providing recreation to the target population (such as public and private nonprofit programs, education programs, health and public safety, HUD programs). Higher priority will be given to proposals in which a

definite plan for coordination with two or more other programs are outlined and guaranteed.

- 7) The degrees to which the proposal improves the quality and quantity of recreation services as a result of the Innovation project. This criterion relates to the effect the proposal will have on the entire jurisdiction, not just the neighborhood served. Higher priority will be given to proposals which:
  - a) significantly increase the number of people served by the project;
  - b) significantly increase the type, variety, or quality of recreation opportunity provided by the project;
  - c) comply with an ongoing plan for the project neighborhood.
  
- 8) The degree to which the proposal ties in with goals, priorities and implementation strategies expressed in the local park and recreation Recovery Action Program. Higher priority will be given to the jurisdictions which have:
  - a) completed a Recovery Action Program;
  - b) made significant progress in implementing the Recovery Action Program;
  - c) demonstrated in the Recovery Action Program that there is citizen and community support for recreation;
  - d) demonstrated that planning is well-funded and well integrated.
  
- 9) The degree to which the proposal leads to a transfer of a recreation role traditionally performed by a public entity, to quasi-public or private nonprofit interests. Higher priority will be given to proposals which will result in a complete transfer of a recreation role from a public entity to a quasi-public or private nonprofit entity. This means the degree to which the private sector can take full responsibility, supplement, or fill the gaps in public recreation services, management or operation, either through transfers of techniques or methods that may prove to be more effective under the private sector. Such transfers should in no way alter the ability of public agencies to continue to provide and/or monitor good quality recreation facilities and services.
  
- 10) The degree to which a proposal benefits disadvantaged community populations and/or those areas within a distressed community which have the greatest recreation deficiencies. Higher priority will be given to proposals that improve service to:
  - a) significant minority populations;
  - b) low and moderate income residents;



c) neighborhood strategy areas;

d) special populations, such as handicapped, elderly, youth.

Points to Remember for Narrative Statement Section:

- \* Each criterion must be addressed.
- \* Documentation to support claims must be provided.
- \* Be brief, but be as thorough as need be to answer each criterion.
- \* Regional offices can assist in defining the goal of each of these criterion.
- \* Proposals must be designed to provide recreation services for residents within the applicant's identified service area.
- \* A Rehabilitation or Innovation proposal may cover the local government's entire recreation system, several properties within the system, or a single property. Innovation proposals may also be nonproperty oriented.



## **Appendix B**

Sample Transmittal Letters



**Sample Transmittal Letters**

Regional Director  
National Park Service  
(See Regional Office Listing for  
Appropriate Address)

Dear Sir/Madam:

type of assistance>

Certifies compliance>

Identifies project>  
leader

The city/county of \_\_\_\_\_ is pleased to forward this preapplication for a Rehabilitation (or Innovation) grant within the Urban Park and Recreation Recovery (UPARR) Program. I hereby certify that the city/county of \_\_\_\_\_ will comply with all NPS requirements for UPARR grants. (Name and title) will be the principle contact for this grant. He/she can be reached by telephone at (telephone no.) or by correspondence at (address).

Sincerely,

(type chief executive's name  
and title)



Sample Transmittal Letter  
For Proposals with Pass-throughs

Regional Director  
National Park Service  
(See regional office listing for  
appropriate address)

Dear Sir/Madam:

The city/county of \_\_\_\_\_ is pleased to forward this preapplication for a Rehabilitation (or Innovation) grant within the Urban Park and Recreation Recovery (UPARR) Program. In the event this proposal is selected for funding, \$\_\_\_\_\_ will be passed through to \_\_\_\_\_.

I hereby certify that the city/county of \_\_\_\_\_ will comply with all NPS requirements for UPARR grants, and that in the event of default by \_\_\_\_\_, the city/county of \_\_\_\_\_ is committed to, and has the legal authority and fiscal capacity to assume full responsibility for all provisions of the grant; and further certify that the property improved or developed with UPARR assistance will remain dedicated to public recreation.

The funds to be used as a matching share for this grant will come from \_\_\_\_\_, and have been authorized by (council resolution, motion, letter of commitment by donor, and so forth) on \_\_\_\_\_ (date)\_\_\_\_\_.

(Name and title), will be the principle contact for this grant. He/she can be reached by telephone (telephone no.) or by correspondence at (indicate address).

Sincerely,

(type chief executive's  
name and title)





## Appendix C

Standard Form 424 Completion Instructions



## Standard Form 424 Completion Instructions

This form is used in the preapplication. It should be filled out as follows:

- Item 1. Complete the "Type of Submission" by checking the appropriate box under "Preapplication" ("Construction" or "Non-Construction").
- Item 2. Record date submitted to NPS Regional office and applicant's own control number (if applicable).
- Item 3. Not applicable.
- Item 4. Not applicable.
- Item 5. Enter name and address of local governmental unit, organizational unit (such as Parks Dept.), and name and telephone number of person who can provide further information about this request.
- Item 6. Enter IRS-assigned number.
- Item 7. In all cases, enter the letter designating the grantee ("B" for county, "C" for municipality, etc.), not the pass-through recipient.
- Item 8. Enter the appropriate code letter. For all preapplications, enter "A" ("New").
- Item 9. Enter "National Park Service" and the name of the applicable NPS Regional office.
- Item 10. Record Federal catalog no. "15.919" and program title: "Urban Park and Recreation Recovery Program."
- Item 11. Enter proposal title and a description of the overall proposal, indicating whether it is Rehabilitation or Innovation. The proposal title should be as descriptive as possible. Include key words indicating major elements of the grant, such as "Jones Park Rehabilitation." The description is to be continued on a separate attached continuation sheet. Pass-through recipients must be identified in the description of the proposal.
- Item 12. Indicate the governmental unit where significant and meaningful impacts will be observed.
- Item 13. Indicate approximate date the project is expected to start (Usually associated with estimated date of availability of funding).
- Item 14. In space 14.a., indicate the congressional district(s) of the applicant. In space 14.b., indicate the congressional district(s) of the specific project site. For projects involving multiple sites in more than one district, identify and indicate the

congressional district of each project site on the same continuation sheet used to complete Item 11.

- Item 15. Enter amount requested or to be contributed during the initial project by each contributor. Include value for in-kind contributions. Item definition: 15.a., amount requested from Federal government (UPARR assistance only); 15.b., amount applicant will contribute; 15.c., the amount of State match, if applicable; 15.d., do not use; 15.e., amount from other sources (explain on continuation sheet); 15.f., do not use; 15.g., indicate total amount (must be sum of above figures).
- Item 16. Complete as appropriate. If the UPARR program is covered by E.O. 12372 in your State and has been selected for review by the State, you must indicate, in Item 16.a. the date of submission to the State's Single Point of Contact (SPOC). This date should be at least 60 days prior to the date of submission of the preapplication to NPS.
- Item 17. Complete with response applicable to the applicant's organizational unit.
- Item 18. Complete in full. The signature entered in space 18.d. must be original on at least one of the five minimum required copies (i.e., one original and four copies). If the project area encompasses more than one congressional district, one copy for each additional district must be added.

**APPENDIX D**

Completed SF-424 (sample)





# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> 1/1/00	Applicant Identifier 01-234567																					
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier																					
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier																					
<b>5. APPLICANT INFORMATION</b>																								
Legal Name: Main County		Organizational Unit: Dept. of Parks & Recreation																						
Address (give city, county, state, and zip code): 123 Center Street Main City 54321		Name and telephone number of the person to be contacted on matters involving this application (give area code): Martha Parker 123/987-6543																						
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> 00 - 0123456		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input checked="" type="checkbox"/> B <table style="width:100%; font-size: small;"> <tr> <td>A State</td> <td>H Independent School Dist.</td> </tr> <tr> <td>B County</td> <td>I State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C Municipal</td> <td>J Private University</td> </tr> <tr> <td>D Township</td> <td>K Indian Tribe</td> </tr> <tr> <td>E Interstate</td> <td>L Individual</td> </tr> <tr> <td>F Intermunicipal</td> <td>M Profit Organization</td> </tr> <tr> <td>G Special District</td> <td>N Other (Specify) _____</td> </tr> </table>		A State	H Independent School Dist.	B County	I State Controlled Institution of Higher Learning	C Municipal	J Private University	D Township	K Indian Tribe	E Interstate	L Individual	F Intermunicipal	M Profit Organization	G Special District	N Other (Specify) _____							
A State	H Independent School Dist.																							
B County	I State Controlled Institution of Higher Learning																							
C Municipal	J Private University																							
D Township	K Indian Tribe																							
E Interstate	L Individual																							
F Intermunicipal	M Profit Organization																							
G Special District	N Other (Specify) _____																							
<b>8. TYPE OF APPLICATION:</b> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A Increase Award      B Decrease Award      C Increase Duration D Decrease Duration      Other (specify): _____		<b>9. NAME OF FEDERAL AGENCY:</b> National Park Service Western Regional Office																						
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> 1 5 a 9 1 9 TITLE: Urban Park and Recreation Recovery Program		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Rehabilitation of Metropolitan Park Project will result in the renovation of the swimming pool and bathhouse, installation of a new pool filtration system, (see attached continuation sheet)																						
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> Main City																								
<b>13. PROPOSED PROJECT:</b> Start Date: 5/1/00      Ending Date: 5/1/02		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant: 14      b. Project: 14																						
<b>15. ESTIMATED FUNDING:</b> <table border="1" style="width:100%; border-collapse: collapse; font-size: small;"> <tr> <td>a Federal</td> <td>\$ 70,000</td> <td>.00</td> </tr> <tr> <td>b Applicant</td> <td>\$ 30,000</td> <td>.00</td> </tr> <tr> <td>c State</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>d Local</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>e Other</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>f Program Income</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>g TOTAL</td> <td>\$ 100,000</td> <td>.00</td> </tr> </table>		a Federal	\$ 70,000	.00	b Applicant	\$ 30,000	.00	c State	\$	.00	d Local	\$	.00	e Other	\$	.00	f Program Income	\$	.00	g TOTAL	\$ 100,000	.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE 11/1/99 b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a Federal	\$ 70,000	.00																						
b Applicant	\$ 30,000	.00																						
c State	\$	.00																						
d Local	\$	.00																						
e Other	\$	.00																						
f Program Income	\$	.00																						
g TOTAL	\$ 100,000	.00																						
		<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes      If "Yes," attach an explanation. <input checked="" type="checkbox"/> No																						
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>																								
a. Typed Name of Authorized Representative Martha Parker		b. Title Dir., Parks & Rec.	c. Telephone number 123/987-6543																					
d. Signature of Authorized Representative 			e. Date Signed 1/1/00																					

CONTINUATION SHEET

Item 11. renovation of ballfield bleachers, construction of a 20-car parking lot, and the development of four additional tennis courts. Also, the existing basketball courts will be reconstructed and new play equipment will be installed at the children's play area.

**APPENDIX E**

Blank Copy of SF-424 for Applicant Use



# APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:

*Application*

Construction

Non-Construction

*Preapplication*

Construction

Non-Construction

5. APPLICANT INFORMATION

Legal Name	Organizational Unit
Address (give city, county, state, and zip code)	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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6. TYPE OF APPLICATION:

New     Continuation     Revision

If Revision, enter appropriate letter(s) in box(es).

A Increase Award    B Decrease Award    C Increase Duration

D Decrease Duration    Other (specify): \_\_\_\_\_

7. TYPE OF APPLICANT: (enter appropriate letter in box)

A State	H Independent School Dist.
B County	I State Controlled Institution of Higher Learning
C Municipal	J Private University
D Township	K Indian Tribe
E Interstate	L Individual
F Intermunicipal	M Profit Organization
G Special District	N Other (Specify) _____

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------

TITLE: \_\_\_\_\_

9. NAME OF FEDERAL AGENCY: \_\_\_\_\_

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): \_\_\_\_\_

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: \_\_\_\_\_

13. PROPOSED PROJECT:

Start Date	Ending Date
------------	-------------

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant \_\_\_\_\_

b. Project \_\_\_\_\_

15. ESTIMATED FUNDING:

a Federal	\$	.00
b Applicant	\$	.00
c State	\$	.00
d Local	\$	.00
e Other	\$	.00
f Program Income	\$	.00
g TOTAL	\$	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE \_\_\_\_\_

b. NO.  PROGRAM IS NOT COVERED BY E.O. 12372

OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

Yes    If "Yes," attach an explanation.

No

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

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

Cut Here



## INSTRUCTIONS FOR THE SF 424

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

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.   |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.  |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |



# APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:

*Application*

Construction       Non-Construction

*Preapplication*

Construction       Non-Construction

5. APPLICANT INFORMATION

Legal Name.	Organizational Unit
Address (give city, county, state, and zip code).	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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6. TYPE OF APPLICATION:

New       Continuation       Revision

If Revision, enter appropriate letter(s) in box(es).

A Increase Award      B Decrease Award      C Increase Duration

D Decrease Duration      Other (specify): \_\_\_\_\_

7. TYPE OF APPLICANT: (enter appropriate letter in box)

A State	H Independent School Dist
B County	I State Controlled Institution of Higher Learning
C Municipal	J Private University
D Township	K Indian Tribe
E Interstate	L Individual
F Intermunicipal	M Profit Organization
G Special District	N Other (Specify) _____

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

<input type="text"/>	<input type="text"/>	.	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------

TITLE: \_\_\_\_\_

9. NAME OF FEDERAL AGENCY: \_\_\_\_\_

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

\_\_\_\_\_

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

\_\_\_\_\_

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	\$	.00
b. Applicant	\$	.00
c. State	\$	.00
d. Local	\$	.00
e. Other	\$	.00
f. Program Income	\$	.00
g. TOTAL	\$	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE \_\_\_\_\_

b. NO.  PROGRAM IS NOT COVERED BY E.O. 12372

OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

Yes      If "Yes," attach an explanation.       No

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

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

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## INSTRUCTIONS FOR THE SF 424

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

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.   |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.  |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction  <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
	<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
	<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier

**5. APPLICANT INFORMATION**

Legal Name	Organizational Unit
Address (give city, county, state, and zip code)	Name and telephone number of the person to be contacted on matters involving this application (give area code)

**6. EMPLOYER IDENTIFICATION NUMBER (EIN):**

[ ] [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
---

**7. TYPE OF APPLICANT: (enter appropriate letter in box)**

A State	H Independent School Dist
B County	I State Controlled Institution of Higher Learning
C Municipal	J Private University
D Township	K Indian Tribe
E Interstate	L Individual
F Intermunicipal	M Profit Organization
G Special District	N Other (Specify) _____

**8. TYPE OF APPLICATION:**  
 New     Continuation     Revision  
 If Revision, enter appropriate letter(s) in box(es).    
 A Increase Award    B Decrease Award    C Increase Duration  
 D Decrease Duration    Other (specify) \_\_\_\_\_

**9. NAME OF FEDERAL AGENCY:**

\_\_\_\_\_

**10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:**

[ ] [ ]
---

TITLE: \_\_\_\_\_

**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**

\_\_\_\_\_

**12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):**

\_\_\_\_\_

**13. PROPOSED PROJECT:**

Start Date	Ending Date
------------	-------------

**14. CONGRESSIONAL DISTRICTS OF:**

a. Applicant	b. Project
--------------	------------

<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$ .00	
b. Applicant	\$ .00	
c. State	\$ .00	
d. Local	\$ .00	
e. Other	\$ .00	
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No
g. TOTAL	\$ .00	

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

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	



## INSTRUCTIONS FOR THE SF 424

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

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank..   | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with <b>this</b> application.  |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of <b>the</b> program under which assistance is requested.   |       |  |
| 11.   | Enter a brief descriptive title of the project. if more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>Preapplication</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
			<b>3. DATE RECEIVED BY STATE</b>
			Federal Identifier
			<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>

<b>5. APPLICANT INFORMATION</b>	
Legal Name	Organizational Unit
Address (give city, county, state, and zip code)	Name and telephone number of the person to be contacted on matters involving this application (give area code)
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input style="width:20px; height:20px;" type="text"/> - <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/>	<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input style="width:20px; height:15px;" type="checkbox"/> <ul style="list-style-type: none"> <li>A State</li> <li>B County</li> <li>C Municipal</li> <li>D Township</li> <li>E Interstate</li> <li>F Intermunicipal</li> <li>G Special District</li> <li>H Independent School Dist</li> <li>I State Controlled Institution of Higher Learning</li> <li>J Private University</li> <li>K Indian Tribe</li> <li>L Individual</li> <li>M Profit Organization</li> <li>N Other (Specify) _____</li> </ul>
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A Increase Award    B Decrease Award    C Increase Duration D Decrease Duration    Other (specify): _____	<b>9. NAME OF FEDERAL AGENCY:</b>

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/> <input style="width:20px; height:20px;" type="text"/>	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>
TITLE:	
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>	

<b>13. PROPOSED PROJECT:</b>	<b>14. CONGRESSIONAL DISTRICTS OF:</b>
Start Date      Ending Date	a Applicant      b Project

<b>15. ESTIMATED FUNDING:</b>	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>
a Federal      \$      .00	a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____
b Applicant    \$      .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372
c State        \$      .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d Local        \$      .00	
e Other        \$      .00	
f. Program Income    \$      .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>
g TOTAL        \$      .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No

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

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

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

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
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| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.   |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.  |       |  |
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# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction  <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier																					
		3. DATE RECEIVED BY STATE	State Application Identifier																					
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																					
<b>5. APPLICANT INFORMATION</b>																								
Legal Name:		Organizational Unit																						
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)																						
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> [ ] [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> <ul style="list-style-type: none"> <li>A State</li> <li>B County</li> <li>C Municipal</li> <li>D Township</li> <li>E Interstate</li> <li>F Intermunicipal</li> <li>G Special District</li> <li>H Independent School Dist.</li> <li>I State Controlled Institution of Higher Learning</li> <li>J Private University</li> <li>K Indian Tribe</li> <li>L Individual</li> <li>M Profit Organization</li> <li>N Other (Specify) _____</li> </ul>																						
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A Increase Award    B Decrease Award    C Increase Duration D Decrease Duration    Other (specify): _____		<b>9. NAME OF FEDERAL AGENCY:</b> _____																						
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> [ ] [ ] [ ] a [ ] [ ] [ ] [ ] TITLE: _____		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> _____																						
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> _____																								
<b>13. PROPOSED PROJECT:</b> Start Date    Ending Date		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a Applicant    b Project																						
<b>15. ESTIMATED FUNDING:</b> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td>a Federal</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>b Applicant</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>c State</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>d Local</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>e Other</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>f Program Income</td> <td>\$</td> <td>.00</td> </tr> <tr> <td>g TOTAL</td> <td>\$</td> <td>.00</td> </tr> </table>		a Federal	\$	.00	b Applicant	\$	.00	c State	\$	.00	d Local	\$	.00	e Other	\$	.00	f Program Income	\$	.00	g TOTAL	\$	.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a Federal	\$	.00																						
b Applicant	\$	.00																						
c State	\$	.00																						
d Local	\$	.00																						
e Other	\$	.00																						
f Program Income	\$	.00																						
g TOTAL	\$	.00																						
		<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No																						
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>																								
a. Typed Name of Authorized Representative		b Title	c Telephone number																					
d Signature of Authorized Representative		e Date Signed																						

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## INSTRUCTIONS FOR THE SF 424

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

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with <b>this</b> application.  |       |  |
| 10.   | Use the Catalog of <b>Federal Domestic Assistance</b> number and title of <b>the</b> program under which assistance is requested.  |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |

# BUDGET INFORMATION — Non-Construction Programs

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

## SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

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**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	FUTURE FUNDING PERIODS (Years)			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

(Attach additional Sheets if Necessary)

21. Direct Charges: \_\_\_\_\_ 22. Indirect Charges: \_\_\_\_\_

23. Remarks \_\_\_\_\_



## INSTRUCTIONS FOR THE SF-424A

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A,B,C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A,B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

### Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** — Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** — Show the totals of Lines 6a to 6h in each column.

**Line 6j** — Show the amount of indirect cost.

**Line 6k** — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

## INSTRUCTIONS FOR THE SF-424A (continued)

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal-Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16 - 19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.



## ASSURANCES — NON-CONSTRUCTION PROGRAMS

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

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse, (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

## BUDGET INFORMATION — Construction Programs

*NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case you will be notified.*

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Column a-b)
1. Administrative and legal expenses	\$ .00	\$ .00	\$ .00
2. Land, structures, rights-of-way, appraisals, etc.	\$ .00	\$ .00	\$ .00
3. Relocation expenses and payments	\$ .00	\$ .00	\$ .00
4. Architectural and engineering fees	\$ .00	\$ .00	\$ .00
5. Other architectural and engineering fees	\$ .00	\$ .00	\$ .00
6. Project inspection fees	\$ .00	\$ .00	\$ .00
7. Site work	\$ .00	\$ .00	\$ .00
8. Demolition and removal	\$ .00	\$ .00	\$ .00
9. Construction	\$ .00	\$ .00	\$ .00
10. Equipment	\$ .00	\$ .00	\$ .00
11. Miscellaneous	\$ .00	\$ .00	\$ .00
12. SUBTOTAL	\$ .00	\$ .00	\$ .00
13. Contingencies (sum of lines 1-11)	\$ .00	\$ .00	\$ .00
14. SUBTOTAL	\$ .00	\$ .00	\$ .00
15. Project (program) income	\$ .00	\$ .00	\$ .00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ .00	\$ .00	\$ .00
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: Enter eligible costs from line 16c Multiply X _____ % (Consult Federal Agency for Federal percentage share). Enter the resulting Federal share.			\$ .00

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## INSTRUCTIONS FOR THE SF-424C

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions please contact the Federal agency.

*Column a.* — If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATIONS."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

*Column b.* — If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

*Column c.* — This is the net of lines 1 through 16 in columns "a." and "b."

---

*Line 1* — Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchase of land which is allowable for Federal participation and certain services in support of construction of the project.

*Line 2* — Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

*Line 3* — Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

*Line 4* — Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

*Line 5* — Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

*Line 6* — Enter estimated engineering inspection costs.

*Line 7* — Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

*Line 9* — Enter estimated cost of the construction contract.

*Line 10* — Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

*Line 11* — Enter estimated miscellaneous costs.

*Line 12* — Total of items 1 through 11.

*Line 13* — Enter estimated contingency costs (Consult the Federal agency for the percentage of the estimated construction cost to use.)

*Line 14* — Enter the total of lines 12 and 13.

*Line 15* — Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

*Line 16* — Subtract line 15 from line 14.

*Item 17* — This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

## ASSURANCES — CONSTRUCTION PROGRAMS

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

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. 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 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibit discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made, and (j) the requirements on any other non-discrimination Statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), the Contract Work Hours and Safety Standards Act (40 U.S. §§ 327-333) regarding labor standards for federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED



**APPENDIX F**

Sample Maps

- Map 1. Site Map of Existing Park
- Map 2. Site Map of Proposed Changes
- Map 3. Location Map
- Map 4. Demographic Map

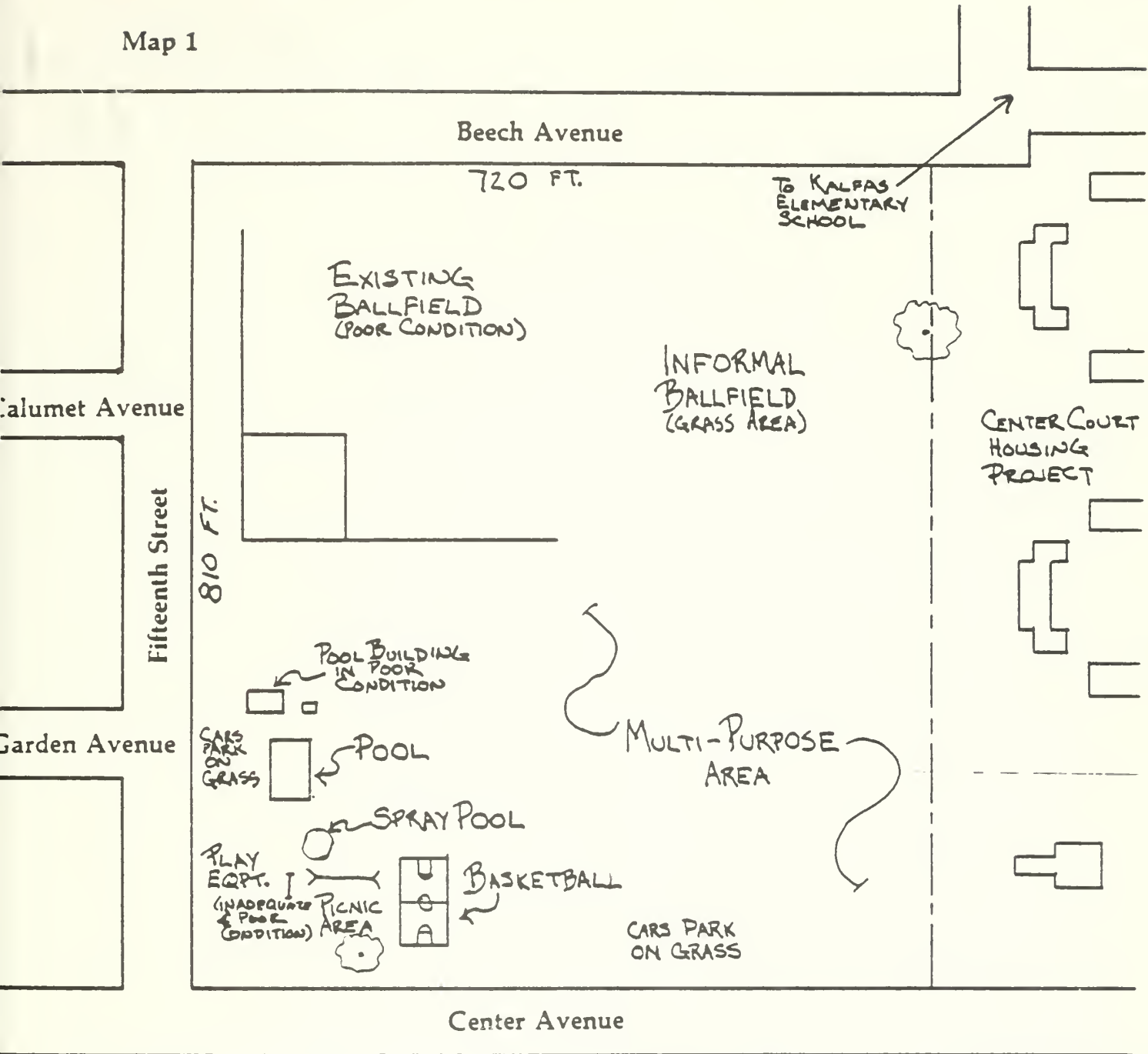


**Map 1**

Site Map of Existing Park



Map 1



Existing Neighborhood Park

City of \_\_\_\_\_

Date of Preparation

Scale: 1" = 36'





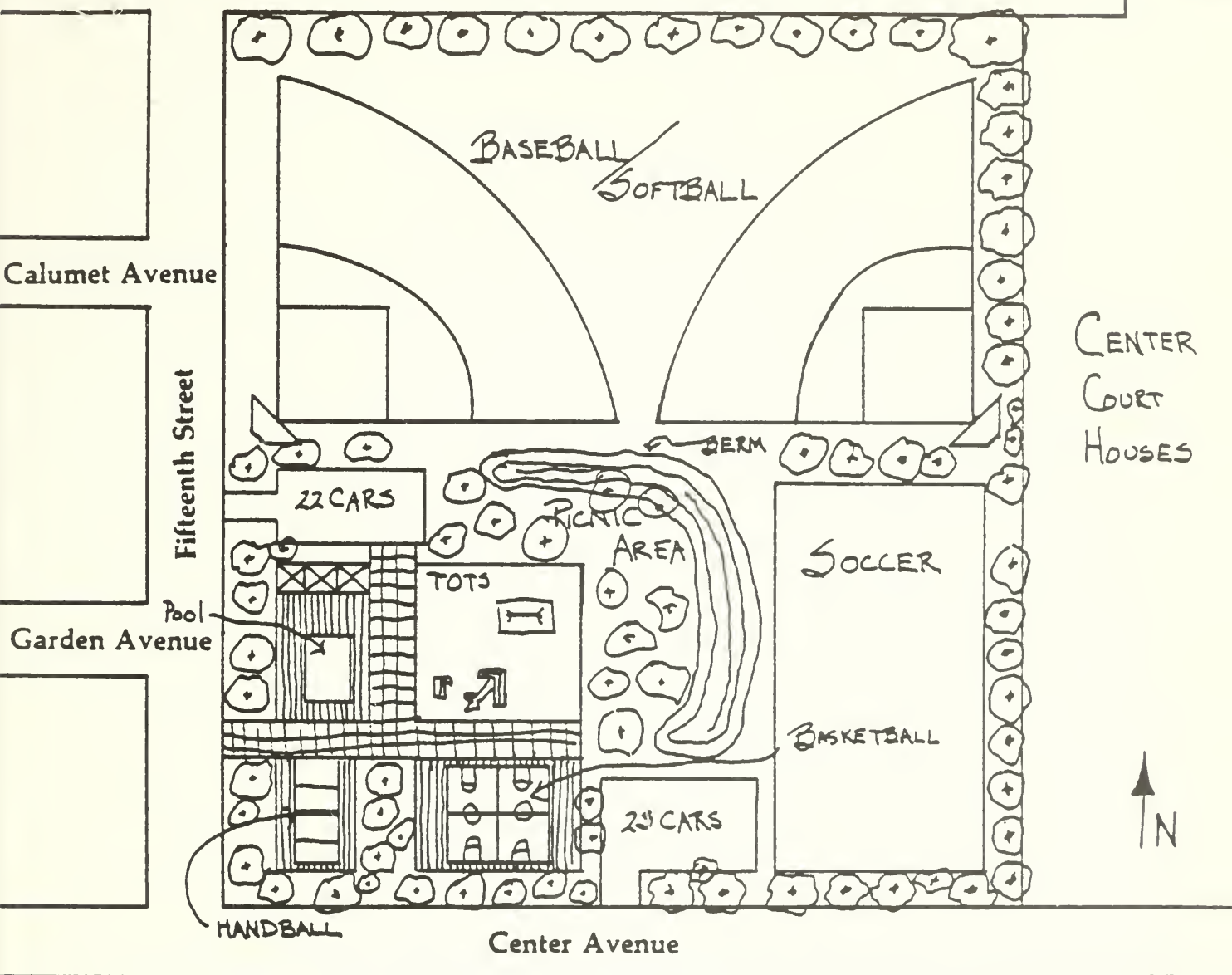
**Map 2**

Site Map of Proposed Changes





Map 2



Proposed Neighborhood Park

City of \_\_\_\_\_

Date of Preparation

Scale: 1" = 36'



**Map 3**





Location Map

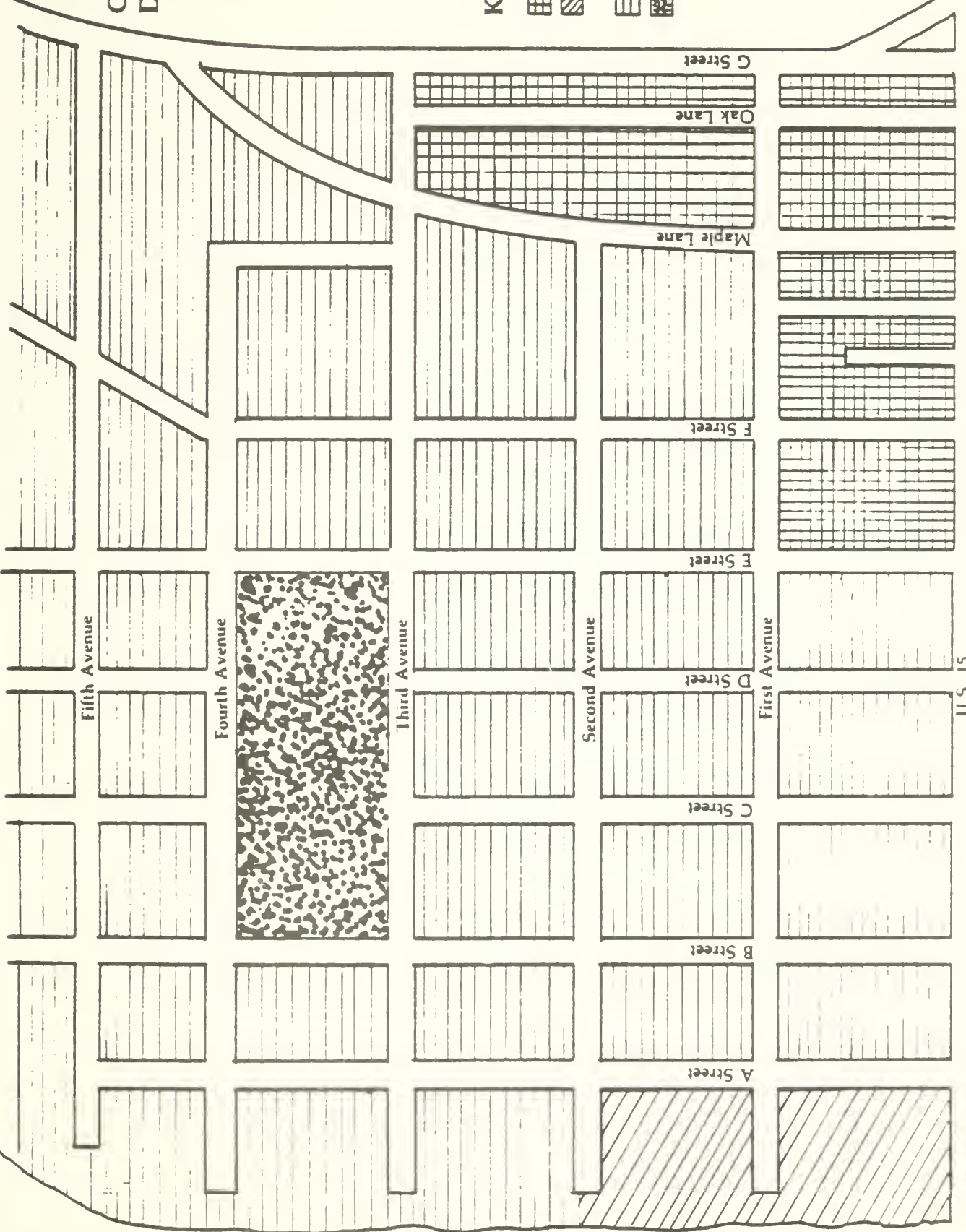
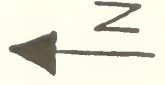


City of \_\_\_\_\_  
Date of \_\_\_\_\_  
Preparation \_\_\_\_\_

Location Map  
Site A

Key

-  Commercial
-  Existing Parkland
-  Residential
-  Project Site



U.S. 15





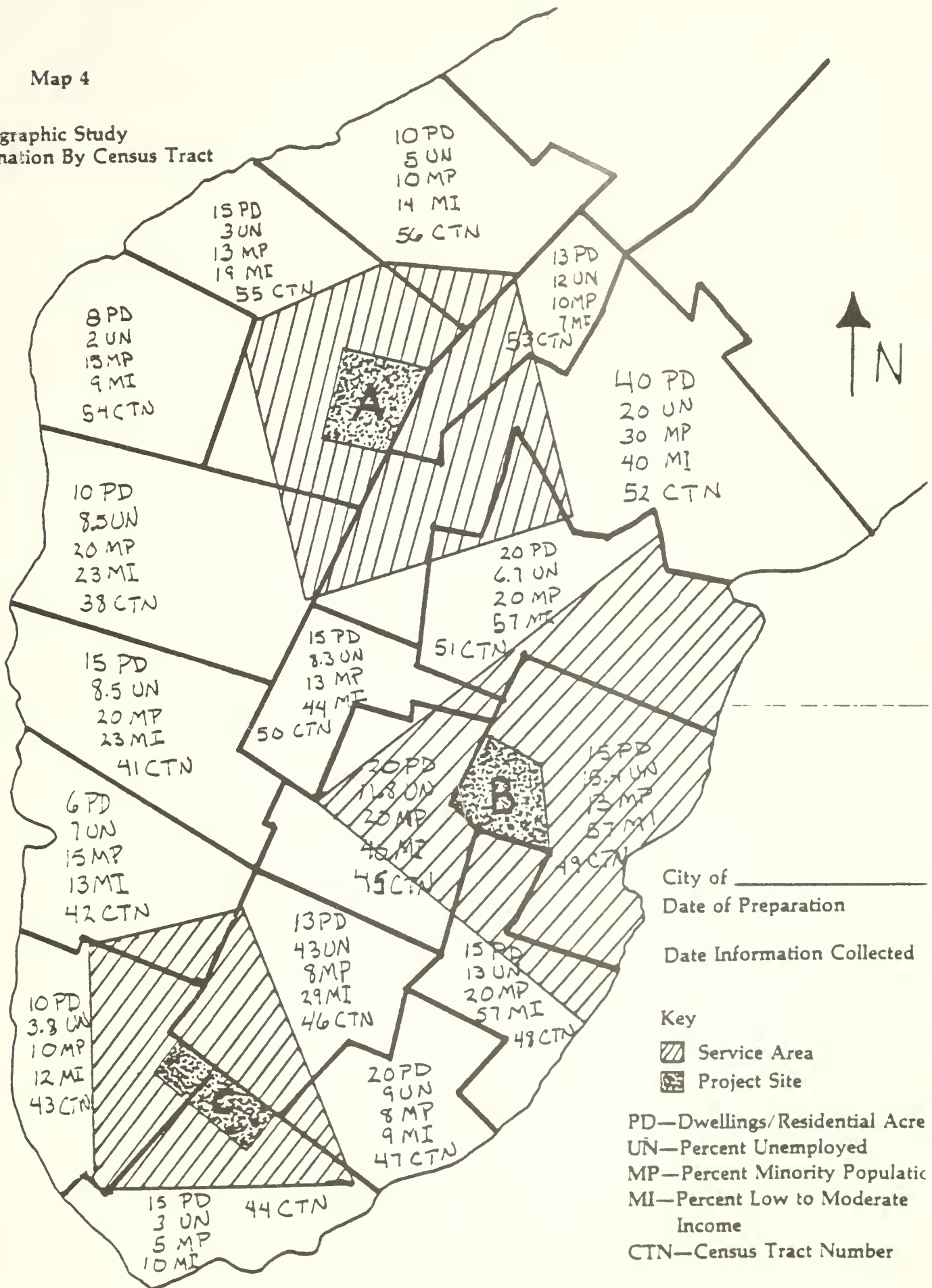
**Map 4**

Demographic Map



Map 4

Demographic Study  
Information By Census Tract





**APPENDIX G**

Sample Cost Estimates





## Sample Cost Estimates

### Center City UPARR Rehabilitation Projects

#### Site "A" Playground

Removal of pavement and vandalized play equipment	\$	6,000
Rehabilitation of existing play equipment		2,834
Tree planting and establishment of turf areas		6,983
Installation of fences and new play equipment		37,000
Creation of ground forms (earth mounds)		3,115
Site drainage		3,000
Architectural/engineering services		6,550

Subtotal: \$ 65,482

#### Site "B" Recreation Center

Replace basketball floor	\$	20,266
Renovate multipurpose room		20,433
Renovate toilet and locker areas		85,300
Provide window security screening		1,580
Replace lighting fixtures		4,550
Replace heating system		52,000
Replace hot water system		10,000
Renovate electrical system		30,200
Architectural/engineering services		13,170

Subtotal: \$ 237,499

#### Site "C" Swimming Pool

Rehabilitate locker areas	\$	32,000
Renovate electrical systems		68,851
Rehabilitate and restore pumps		43,555
Replace filtration system		20,381
Rehabilitate concrete deck		15,000
Screed coat to floor		30,530
Architectural/engineering services		18,928

Subtotal: \$ 229,245

Administrative costs \$ 21,429

**TOTAL: \$ 553,655**



**APPENDIX H**

Sample Resolution





## Sample Resolution

A Resolution Authorizing Filing of Grant Application Under the Urban Park and Recreation Recovery Act of 1978

WHEREAS, the Urban Park and Recreation Recovery Act of 1978 established a grant program to assist communities in rehabilitation of park and recreation systems; and

WHEREAS, the city/county of \_\_\_\_\_ has been determined eligible to apply for said funds;

NOW, THEREFORE BE IT RESOLVED, by the (city council, county commission, etc.) city/county of \_\_\_\_\_, (address and state) that the (title of chief executive) is authorized and directed to file this grant application for (amount and title of proposal), and to provide such additional information as may be required with respect to (city/county's name) participation in this program.

Clerk for the (council, commission)  
(city/county name)



**APPENDIX I**

Preapplication Checklist



## Preapplication Checklist

### Letter of Transmittal

- \* Signed by Mayor/Commissioner or his/her designee
- \* Designates project leader
- \* Certifies compliance with NPS requirements
- \* Identifies type of grant sought

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### Standard Form 424

- \* Signed by Mayor/Commissioner or his/her designee
- \* Funding correct (70% Federal, 30% local)
- \* Correct program/catalog number (15.919)
- \* Continuation sheet briefly abstracting the proposal

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### Proposal Description Statement Narrative

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### Selection Criteria Narrative

- \* Treat each criterion separately and answer fully
- \* Document with statistics

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### Maps

- \* General location map
- \* Site map
- \* Demographic map

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### Photos (8" x 10")

- \* Inside photos (if applicable)
- \* Outside photos

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### Project Cost Estimates

- \* Detailed breakdown of costs by item

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### Work Progress Timetable

- \* Show beginning date
- \* Show milestones in months through project completion

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### Documentary Evidence of Match

- \* Official statement from council
- \* State match (if applicable)

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### Environmental and Historical Assessment

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### Fees and Charges Information (if applicable)

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### Control and Tenure

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### SPOC Letters

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### Pass-Throughs

- \* Description of pass-through agency
- \* Legal authority to apply
- \* Coordination with Recovery Action Program
- \* Non-conversion of property

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- \* Control and tenure
- \* Open to public
- \* Prorated to recreation service area
- \* Fiscal management system

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Discretionary Applicants

- \* Documentation of level of distress

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Number of Copies of Pre-Application

- \* One original (signatures) and two copies

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**APPENDIX J**

NPS Regional Offices



NPS Regional Offices

<u>REGION</u>	<u>OFFICE ADDRESS</u>	<u>STATES</u>
Mid-Atlantic	Regional Director, NPS 143 S. 3rd Street Philadelphia, PA 19106 215-597-7995	CT, DC, DE, MA, MD, ME, NH, NJ, NY, PA, RI, VA, VT, WV
Mid-West	Regional Director, NPS 210 S. 16th Street Omaha, NE 68102 402-221-3202	IA, IL, IN, KS, MI, MN, MO, NE, OH, WI
Pacific Northwest	Regional Director, NPS 83 S. King Street Suite 212 Seattle, WA 98104 206-442-4720	AK, ID, OR, WA
Rocky Mountain	Regional Director, NPS P.O. Box 25287 Denver, CO 80225 303-969-2850	CO, MT, ND, SD, UT, WY
Southeast	Regional Director, NPS 75 Spring Street, 10th Fl. Atlanta, GA 30303 404-331-2610	AL, FL, GA, KY, MS, NC, PR, SC, TN, VI
Southwest	Regional Director, NPS P.O. Box 728 Santa Fe, NM 87501 505-988-6705	AR, LA, NM, OK, TX
Western	Regional Director, NPS 450 Golden Gate Avenue Box 36063 San Francisco, CA 94102 415-556-8360	AS, AZ, CA, GU, HI, NV, CM











