



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Head Start | Region VI | 1301 Young Street, Room 937, Dallas, TX 75202 | [www.eclkc.ohs.acf.hhs.gov](http://www.eclkc.ohs.acf.hhs.gov)

May 22, 2018

Tano E. Tijerina, Webb County Judge  
Webb County Commissioners  
5904 West Drive, Suites 6 & 7  
Laredo, TX 78044

Re: Grant No. 06CH7137

Dear Judge Tijerina:

The Consolidated Appropriations Act, 2018, contains an increase of approximately \$610 million for programs under the Head Start Act for Fiscal Year (FY) 2018. A portion of the increase provides a cost-of-living adjustment (COLA) of 2.6 percent, depending on final funding decisions, to assist grantees in increasing staff salaries and fringe benefits and offsetting higher operating costs.

Grants with significantly low percentages of training and technical assistance (T/TA) dollars may see an increase in those funds over previous years.

The following table reflects the increase(s) for FY 2018.

<b>Funding Type</b>	<b>Amount</b>
Head Start COLA	\$235,169
Early Head Start COLA	\$23,566
Head Start T/TA (if applicable)	\$15,776
Early Head Start T/TA (if applicable)	
<b>TOTAL</b>	<b>\$274,511</b>

### **Submission Requirements**

Program Instruction ACF-PI-HS-18-03, dated May 1, 2018, informed Head Start and Early Head Start grantees and delegate agencies of the intended uses of these funds and announced the opportunity for grantees to apply for the funds. Please review the Program Instruction carefully to ensure your supplemental application meets the requirements for funding and contains all of the necessary information.

The supplemental application is due June 18, 2018 and must be submitted in the Head Start Enterprise System (HSES) at <https://hses.ohs.acf.hhs.gov/hsprograms>. Please select the Financials tab, Application tab, Fiscal Year 2018 and the budget period to add the

'Supplement - COLA' amendment type. For technical assistance in preparing the application, please contact the HSES Help Desk at [help@hsesinfo.org](mailto:help@hsesinfo.org) or 1-866-771-4737.

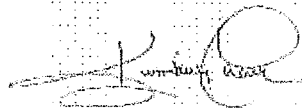
Please ensure the program narrative, budget and detailed budget justification submitted in the application documents demonstrate:

- An increase of 2.6 percent in the hourly rate of pay for each Head Start/Early Head Start employee and the pay scale subject to the provisions of Sections 653 and 640(j) of the Head Start Act;
- The rationale if employees are receiving less than the 2.6 percent COLA or differential COLA increases;
- The provision of the 2.6 percent increase to all delegate agencies and partners or justification if the full percentage is not provided to delegate agencies and partners;
- The planned uses for the balance of the COLA funds to offset higher operating costs;
- Each source of non-federal match, including the estimated amount per source and the valuation methodology; and
- A detailed justification that conforms with the criteria under Section 640(b)(1)-(5) of the Head Start Act if the application proposes a waiver of any portion of the non-federal match requirement.

Signed statements of the Governing Body and Policy Council Chairs along with Governing Body and Policy Council minutes documenting each group's participation in the development and approval of the supplemental application must be provided. The application must be submitted on behalf of the Authorizing Official registered in the HSES. **Incomplete applications will not be processed.**

Please ensure the application contains all of the required information. If you have any questions or need assistance, please contact Alfredo Huerta, Head Start Program Specialist, at (214) 767-8847 or [alfredo.huerta@acf.hhs.gov](mailto:alfredo.huerta@acf.hhs.gov) or Cathy Criner, Grants Management Specialist, at (214) 767-8130 or [cathy.crinier@acf.hhs.gov](mailto:cathy.crinier@acf.hhs.gov). Thank you for your cooperation and timely submission of the grant application.

Sincerely,



Kimberly Chalk  
Regional Program Manager  
Office of Head Start

cc: Aliza Oliveros, Head Start Director and Executive Director



# Office of Head Start

06CH7137 - Webb County Commissioners  
FY2018 - 09/01/2018-08/31/2019 - Supplement

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## Head Start - Budget Categories

<i>Budget Category</i>	<i>Program Operations</i>	<i>Training Technical Assistance</i>	<i>Non-Federal Share</i>
Personnel	\$164,014	\$0	\$0
Fringe Benefits	\$41,679	\$0	\$0
Travel	\$0	\$5,000	\$0
Equipment	\$0	\$0	\$0
Supplies	\$14,057	\$0	\$0
Contractual	\$0	\$0	\$0
Construction	\$0	\$0	\$0
Other	\$15,419	\$10,776	\$62,737
<b>Total Direct Charges</b>	<b>\$235,169</b>	<b>\$15,776</b>	<b>\$62,737</b>
Indirect Charges	\$0	\$0	\$0
<b>Total</b>	<b>\$235,169</b>	<b>\$15,776</b>	<b>\$62,737</b>

## Early Head Start - Budget Categories

<i>Budget Category</i>	<i>Program Operations</i>	<i>Training Technical Assistance</i>	<i>Non-Federal Share</i>
Personnel	\$14,995	\$0	\$5,892
Fringe Benefits	\$3,090	\$0	\$0
Travel	\$0	\$0	\$0
Equipment	\$0	\$0	\$0
Supplies	\$5,481	\$0	\$0
Contractual	\$0	\$0	\$0
Construction	\$0	\$0	\$0
Other	\$0	\$0	\$0
<b>Total Direct Charges</b>	<b>\$23,566</b>	<b>\$0</b>	<b>\$5,892</b>
Indirect Charges	\$0	\$0	\$0
<b>Total</b>	<b>\$23,566</b>	<b>\$0</b>	<b>\$5,892</b>

*Note: This report only includes values specified in the Budget tab.*



# Office of Head Start

06CH7137 - Webb County Commissioners  
 FY2018 - 09/01/2018-08/31/2019 - Supplement

## Head Start - Summary

Line Item	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
<b>Budget Total</b>	<b>\$235,169</b>	<b>\$15,776</b>	<b>\$62,737</b>	<b>230</b>

Personnel Total	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
<b>Personnel Total</b>	<b>\$164,014</b>	<b>\$0</b>	<b>\$0</b>	<b>230</b>

### Personnel: Child Health and Development Personnel

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Program Managers and Content Area Experts	\$3,232	\$0	\$0	2
Teachers / Infant Toddler Teachers	\$37,240	\$0	\$0	33
Teacher Aides and Other Education Personnel	\$49,680	\$0	\$0	90
Health / Mental Health Services Personnel	\$8,974	\$0	\$0	8
Disabilities Services Personnel	\$1,438	\$0	\$0	3
Nutrition Services Personnel	\$2,078	\$0	\$0	4
Other Child Services Personnel - Other Child Services Personnel	\$20,900	\$0	\$0	51
<b>Total</b>	<b>\$123,542</b>	<b>\$0</b>	<b>\$0</b>	<b>191</b>

### Personnel: Family and Community Partnership Personnel

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Program Managers and Content Area Experts	\$2,562	\$0	\$0	2
Other Family and Community Partnerships Personnel - Other Family and Community Partnerships Personnel	\$18,933	\$0	\$0	19
<b>Total</b>	<b>\$21,495</b>	<b>\$0</b>	<b>\$0</b>	<b>21</b>

**Personnel: Program Design and Management Personnel**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Head Start / Early Head Start Director	\$3,183	\$0	\$0	1
Clerical Personnel	\$1,939	\$0	\$0	3
Fiscal Personnel	\$1,139	\$0	\$0	1
Other Administrative Personnel - Other Administrative Personnel	\$4,159	\$0	\$0	2
<b>Total</b>	<b>\$10,420</b>	<b>\$0</b>	<b>\$0</b>	<b>7</b>

**Personnel: Other Personnel**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Maintenance Personnel	\$3,030	\$0	\$0	4
Transportation Personnel	\$3,067	\$0	\$0	5
Other Personnel - Other Personnel	\$2,460	\$0	\$0	2
<b>Total</b>	<b>\$8,557</b>	<b>\$0</b>	<b>\$0</b>	<b>11</b>

**Fringe Benefits**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Social Security (FICA), State Disability, Unemployment (FUTA), Worker's Compensation, State Unemployment Insurance (SUI)	\$14,964	\$0	\$0	
Health / Dental / Life Insurance	\$7,410	\$0	\$0	
Retirement	\$19,305	\$0	\$0	
<b>Total</b>	<b>\$41,679</b>	<b>\$0</b>	<b>\$0</b>	

**Travel**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Staff Out-Of-Town Travel	\$0	\$5,000	\$0	

**Supplies**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Office Supplies	\$4,057	\$0	\$0	
Child and Family Services Supplies	\$5,000	\$0	\$0	
Other Supplies - Janitorial Supplies	\$5,000	\$0	\$0	
<b>Total</b>	<b>\$14,057</b>	<b>\$0</b>	<b>\$0</b>	

**Other**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Rent	\$419	\$0	\$0	
Utilities, Telephone	\$15,000	\$0	\$0	
Volunteers	\$0	\$0	\$62,737	
Training or Staff Development	\$0	\$10,776	\$0	
<b>Total</b>	<b>\$15,419</b>	<b>\$10,776</b>	<b>\$62,737</b>	

**Direct Costs**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
<b>Direct Costs Total</b>	<b>\$235,169</b>	<b>\$15,776</b>	<b>\$62,737</b>	<b>230</b>

## Early Head Start - Summary

Line Item	Budget Total	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
	<b>\$23,566</b>		<b>\$0</b>	<b>\$5,892</b>	<b>38</b>

Personnel Total	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
	<b>\$14,995</b>	<b>\$0</b>	<b>\$5,892</b>	<b>38</b>

### Personnel: Child Health and Development Personnel

Personnel	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Program Managers and Content Area Experts	\$219	\$0	\$0	2
Teachers / Infant Toddler Teachers	\$7,397	\$0	\$5,892	10
Home Visitors	\$2,030	\$0	\$0	3
Teacher Aides and Other Education Personnel	\$2,090	\$0	\$0	6
Health / Mental Health Services Personnel	\$190	\$0	\$0	2
Nutrition Services Personnel	\$43	\$0	\$0	1
Other Child Services Personnel - Area Service Managers	\$827	\$0	\$0	2
<b>Total</b>	<b>\$12,796</b>	<b>\$0</b>	<b>\$5,892</b>	<b>26</b>

### Personnel: Family and Community Partnership Personnel

Personnel	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Program Managers and Content Area Experts	\$180	\$0	\$0	2
Other Family and Community Partnerships Personnel - Family Service Workers	\$834	\$0	\$0	2
<b>Total</b>	<b>\$1,014</b>	<b>\$0</b>	<b>\$0</b>	<b>4</b>

### Personnel: Program Design and Management Personnel

Personnel	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Head Start / Early Head Start Director	\$200	\$0	\$0	1
Clerical Personnel	\$385	\$0	\$0	1
Fiscal Personnel	\$83	\$0	\$0	1



	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Other Administrative Personnel - Assistant Directors	\$272	\$0	\$0	2
<b>Total</b>	<b>\$940</b>	<b>\$0</b>	<b>\$0</b>	<b>5</b>

**Personnel: Other Personnel**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Maintenance Personnel	\$70	\$0	\$0	1
Other Personnel - Computer Specialist and Records Manager	\$175	\$0	\$0	2
<b>Total</b>	<b>\$245</b>	<b>\$0</b>	<b>\$0</b>	<b>3</b>

**Fringe Benefits**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Social Security (FICA), State Disability, Unemployment (FUTA), Worker's Compensation, State Unemployment Insurance (SU)	\$1,419	\$0	\$0	
Retirement	\$1,671	\$0	\$0	
<b>Total</b>	<b>\$3,090</b>	<b>\$0</b>	<b>\$0</b>	

**Supplies**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
Other Supplies - Minor Apparatus/Tools	\$5,481	\$0	\$0	

**Direct Costs**

	Cost for Program Operation	Cost for Training Technical Assistance	Non-Federal Share	Number of Employees
<b>Direct Costs Total</b>	<b>\$23,566</b>	<b>\$0</b>	<b>\$5,892</b>	<b>38</b>



# Office of Head Start

06CH7137 - Webb County Commissioners  
 FY2018 - 09/01/2018-08/31/2019 - Supplement

## Head Start - Admin Costs

Summary Item Total	Admin Costs	Admin Costs (% Total Budget)	Employees
	\$15,649.45	4.99%	11

Personnel Total	Admin Costs	Admin Costs (% Total Budget)	Employees
	\$10,571.50	3.37%	11

### Personnel: Program Design and Management Personnel

	Admin Costs	Admin Costs (% Total Budget)	Employees
Head Start / Early Head Start Director	\$3,183.00	1.01%	1
Clerical Personnel	\$1,939.00	0.62%	3
Fiscal Personnel	\$1,139.00	0.36%	1
Other Administrative Personnel - Other Administrative	\$4,159.00	1.33%	2
<b>Total</b>	<b>\$10,420.00</b>	<b>3.32%</b>	<b>7</b>

### Personnel: Other Personnel

	Admin Costs	Admin Costs (% Total Budget)	Employees
Maintenance Personnel	\$151.50	0.05%	4

### Travel

	Admin Costs	Admin Costs (% Total Budget)	Employees
Staff Out-Of-Town Travel	\$250.00	0.08%	

**Supplies**

	Admin Costs	Admin Costs (% Total Budget)	Employees
Office Supplies	\$4,057.00	1.29%	

**Other**

	Admin Costs	Admin Costs (% Total Budget)	Employees
Rent	\$20.95	0.01%	
Utilities, Telephone	\$750.00	0.24%	
<b>Total</b>	<b>\$770.95</b>	<b>0.25%</b>	

**Direct Costs**

	Admin Costs	Admin Costs (% Total Budget)	Employees
<b>Direct Costs Total</b>	<b>\$15,649.45</b>	<b>4.99%</b>	<b>11</b>

## Early Head Start - Admin Costs

Summary Item Total	Admin Costs	Admin Costs (% Total Budget)	Employees
	\$1,137.93	3.86%	6

Personnel Total	Admin Costs	Admin Costs (% Total Budget)	Employees
	\$943.50	3.20%	6

### Personnel: Program Design and Management Personnel

	Admin Costs	Admin Costs (% Total Budget)	Employees
Head Start / Early Head Start Director	\$200.00	0.68%	1
Clerical Personnel	\$385.00	1.31%	1
Fiscal Personnel	\$83.00	0.28%	1
Other Administrative Personnel - Assistant Directors	\$272.00	0.92%	2
<b>Total</b>	<b>\$940.00</b>	<b>3.19%</b>	<b>5</b>

### Personnel: Other Personnel

	Admin Costs	Admin Costs (% Total Budget)	Employees
Maintenance Personnel	\$3.50	0.01%	1

### Fringe Benefits

	Admin Costs	Admin Costs (% Total Budget)	Employees
Social Security (FICA), State Disability, Unemployment (FUTA), Worker's Compensation, State Unemployment Insurance (SUI)	\$89.28	0.30%	
Retirement	\$105.14	0.36%	
<b>Total</b>	<b>\$194.43</b>	<b>0.66%</b>	

**Direct Costs**

	Admin Costs	Admin Costs (% Total Budget)	Employees
<b>Direct Costs Total</b>	<b>\$1,137.93</b>	<b>3.86%</b>	<b>6</b>



# Office of Head Start

06CH7137 - Webb County Commissioners  
FY2018 - 09/01/2018-08/31/2019 - Supplement

## Head Start - Application Summary Items

This report uses values from the Budget, Program Schedule and Other Funding tab. This report does not include any values from the SF424A that were not pre-populated from the Budget tab.

### 1. Administrative Costs:

The maximum allowable expenditure for administrative costs is 15% of the total budget.

	<i>Amount</i>
Total Admin Cost	\$15,649.45
Total Budget	\$313,682.00
Admin as a % of Total Budget	4.99%

### 2. Non-Federal Share:

For most grantees, a minimum of 20% of the total budget must be non-federal share:

	<i>Amount</i>
Total Non-Federal Costs	\$62,737.00
Total Budget	\$313,682.00
Non-Federal Share as a % of Total Budget	20.00%

### 3. Average Class Size:

Average class size for CB Program Schedules that involve double sessions should be between 13 and 20.

Average class size for the CB and CO Program Schedules (including double sessions) should be between 15 and 20:

Center-Based Double Sessions	0.00
Center-Based AND Combination Non-double Sessions	0.00
All Center-Based AND Combination Sessions	0.00

### 4. Cost Per Child and Hours of Service Per Child:

The following table shows information about costs and hours of service for this agency:

	<i>Amount</i>
Total Hours of Service Per Child	0.00
Overall Cost Per Child Per Hour	\$0.00

**5. Federal Personnel and Fringe Costs:**

	<i>Amount</i>
Federal Personnel Cost	\$164,014.00
Federal Fringe Cost	\$41,679.00
Total Federal Budget	\$250,945.00
Federal Personnel Cost as a % of Total Federal Budget	65.36%
Federal Fringe Cost as a % of Total Federal Budget	16.61%
Federal Personnel plus Fringe Cost as a % of Total Federal Budget	81.97%

\*In general, Personnel costs should account for 60% to 80% of the federal budget.

**6. Fringe Rate:**

If the fringe cost for an agency is less than 10% or more than 30% of Personnel, there may be an inaccurate entry in Personnel:

	<i>Amount</i>
Total Fringe Cost	\$41,679.00
Total Personnel Cost	\$164,014.00
Total Fringe Cost as % of Total Personnel Cost	25.41%

**7. Fringe Benefits:**

The following shows if this agency pays for health / dental / life and/or retirement benefits:

Health / Dental / Life	Yes
Retirement	Yes

**8. Out-of-Town Staff Travel:**

Most agencies have out-of-town staff travel costs between \$60 and \$65 per child. If the costs for this agency are higher, check that they are justified:

	<i>Amount</i>
Out-of-Town Staff Travel Cost	\$5,000.00
Out-of-Town Staff Travel Cost Per Child	\$0.00

**9. Case Loads:**

For Home Visitors, case loads are typically between 8 and 10:

Home Visitor Case Load	0.00
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**10. Child and Adult Care Food Program (CACFP) Funds:**

	<i>Amount</i>
CACFP Funding	\$0.00
CACFP Funding as a percentage of Total Federal Budget	0.00%

# Early Head Start - Application Summary Items

This report uses values from the Budget, Program Schedule and Other Funding tab. This report does not include any values from the SF424A that were not pre-populated from the Budget tab.

## 1. Administrative Costs:

The maximum allowable expenditure for administrative costs is 15% of the total budget.

	<i>Amount</i>
Total Admin Cost	\$1,137.93
Total Budget	\$29,458.00
Admin as a % of Total Budget	3.86%

## 2. Non-Federal Share:

For most grantees, a minimum of 20% of the total budget must be non-federal share:

	<i>Amount</i>
Total Non-Federal Costs	\$5,892.00
Total Budget	\$29,458.00
Non-Federal Share as a % of Total Budget	20.00%

## 3. Average Class Size:

Average class size for CB Program Schedules that involve double sessions should be between 13 and 20.

Average class size for the CB and CO Program Schedules (including double sessions) should be between 15 and 20:

Center-Based Double Sessions	0.00
Center-Based AND Combination Non-double Sessions	0.00
All Center-Based AND Combination Sessions	0.00

## 4. Cost Per Child and Hours of Service Per Child:

The following table shows information about costs and hours of service for this agency:

	<i>Amount</i>
Total Hours of Service Per Child	0.00
Overall Cost Per Child Per Hour	\$0.00



**5. Federal Personnel and Fringe Costs:**

	<i>Amount</i>
Federal Personnel Cost	\$14,995.00
Federal Fringe Cost	\$3,090.00
Total Federal Budget	\$23,566.00
Federal Personnel Cost as a % of Total Federal Budget	63.63%
Federal Fringe Cost as a % of Total Federal Budget	13.11%
Federal Personnel plus Fringe Cost as a % of Total Federal Budget	76.74%

\*In general, Personnel costs should account for 60% to 80% of the federal budget.

**6. Fringe Rate:**

If the fringe cost for an agency is less than 10% or more than 30% of Personnel, there may be an inaccurate entry in Personnel:

	<i>Amount</i>
Total Fringe Cost	\$3,090.00
Total Personnel Cost	\$20,887.00
Total Fringe Cost as % of Total Personnel Cost	14.79%

**7. Fringe Benefits:**

The following shows if this agency pays for health / dental / life and/or retirement benefits:

Health / Dental / Life	No
Retirement	Yes

**8. Out-of-Town Staff Travel:**

Most agencies have out-of-town staff travel costs between \$60 and \$65 per child. If the costs for this agency are higher, check that they are justified:

	<i>Amount</i>
Out-of-Town Staff Travel Cost	\$0.00
Out-of-Town Staff Travel Cost Per Child	\$0.00

**9. Case Loads:**

For Home Visitors, case loads are typically between 8 and 10:

Home Visitor Case Load	0.00
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**10. Child and Adult Care Food Program (CACFP) Funds:**

	<i>Amount</i>
CACFP Funding	\$0.00
CACFP Funding as a percentage of Total Federal Budget	0.00%

**U.S. DEPARTMENT OF HEALTH AND HUMAN  
SERVICES COMPENDIUM OF REQUIRED  
CERTIFICATIONS AND ASSURANCES**

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**Office of Head Start**

Updated July 29, 2014

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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## SF424B Assurances – Non-Construction Programs

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 cost) 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 19 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, as applicable, with 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.

## U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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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 (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).
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 Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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## Certification Regarding Lobbying

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Regarding Compliance with Compensation Cap (Level II of the Executive Schedule)

Federal funds will not be used to pay any part of the compensation of an individual employed by a Head Start and/or Early Head Start agency if that individual's compensation exceeds the rate payable for Level II of the Executive Schedule.

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

## Certification of Filing and Payment of Federal Taxes

As required by the Departments of Labor, Health and Human Services, and Education and Related Agencies Appropriation Act, 2008 (Public Law 110-161, Division G, Title V, section 523), as a prospective financial assistance recipient entering into a grant or cooperative agreement of more than \$5,000,000, I, as the duly authorized representative of the applicant, do hereby certify to the best of my knowledge and belief, that:

1. The applicant has filed all Federal tax returns required during the three years preceding this certification
2. The applicant has not been convicted of a criminal offense pursuant to the Internal Revenue Code of 1986 (U.S. Code - Title 26, Internal Revenue Code)
3. The applicant has not, more than 90 days prior to this certification, been notified of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

## Submission Statement

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

### Authorized Representative:

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

\* Submitted by:  Date Submitted: