

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS-97-01]

#### Request for Applications Under the Office of Community Services' Fiscal Year 1997 Discretionary Grants Program

**AGENCY:** Office of Community Services, ACF, DHHS.

**ACTION:** Request for applications under the Office of Community Services' Discretionary Grants Program.

**SUMMARY:** The Administration for Children and Families, Office of Community Services (OCS) announces that competing applications will be accepted for new grants pursuant to the Secretary's discretionary authority under sections 681(a) and (b) of the Community Services Block Grant Act of 1981, as amended. This Program Announcement consists of nine parts:

Part A covers information on legislative authorities and defines terms used in the Program Announcement;

Part B provides details on application prerequisites, funds available in each priority area, limitations on grant amounts, project periods, who should benefit from the programs, and other application requirements;

Part C lists the two program priority areas under which grants will be made, describes the types of projects that will be considered for funding under each priority area, and defines which organizations are eligible to apply;

Part D provides the criteria for review and evaluation of each application to program elements of the program priority area;

Part E describes the application procedures, including the availability of forms, where and how to submit an application, the criteria used in screening and compliance with Federal requirements regarding the drug-free workplace and debarment requirements in submitting the application;

Part F describes the contents of the application package and receipt process;

Part G provides instructions for completing the SF-424 following standard Federal guidelines as well as OCS specific requirements, and describes how the project narrative should be ordered and presented;

Part H details post-award information and reporting requirements; and

Part I provides for an appendices of additional applicable Federal Regulations in Attachments A-K.

**CLOSING DATE:** The closing time and date for receipt of applications is 4:30 p.m. (Eastern Standard Time) May 27, 1997. Applications received after 4:30 p.m. on that day will be classified as late. Postmarks and other similar documents do not establish receipt of an application. Detailed application submission instructions including the addresses where applications must be received, are found in Part E of this announcement.

**FOR FURTHER INFORMATION CONTACT:** Joseph Carroll, Office of Community Services, Division of Community Discretionary Programs, Administration for Children and Families, 370 L'Enfant Promenade, SW, Washington, D.C. 20447, telephone (202) 401-9345 and fax (202) 401-4687.

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##### Part A—Preamble

###### 1. Legislative Authority

Section 681(a) and 681(b)(2) of the Community Services Block Grant Act, as amended, authorizes the Secretary to make funds available to support program activities of national or regional significance to alleviate the causes of poverty in distressed communities with special emphasis on community and economic development activities.

###### 2. Departmental Goals

This announcement is particularly relevant to the Departmental goal of strengthening the American family and promoting self-sufficiency. These programs have objectives of increasing the access of low-income people to employment and business development opportunities, and improving the integration, coordination, and continuity of the various HHS (and other Federal Departments') funded services potentially available to families living in poverty.

###### 3. Definition of Terms

For purposes of this Program Announcement the following definitions apply:

- Budget Period: The interval of time into which a grant period of assistance is divided for budgetary and funding purposes.
- Cash Contributions: The cash outlay which includes the money contributed to the project or program by the recipient and third parties.
- Community Development Corporation: A private, nonprofit entity, governed by a board consisting of residents of the community and business and civic leaders, which has as a principal purpose planning, developing, or managing low-income housing or community development projects.
- Community Economic Development (CED): An economic process by which a community uses its resources to attract capital and increase business development and job opportunities for its residents. CED enhances the quality of the economic and physical environment of the community.
- Construction Projects: For the purpose of this announcement, construction projects involve land improvements and development or major renovation of (new or existing) facilities and

- buildings, including their improvements, fixtures and permanent attachments.
- Displaced Worker: An individual who is in the labor market but has been unemployed for six months or longer.
  - Distressed Community: A geographic urban neighborhood or rural community of high unemployment and pervasive poverty.
  - Eligible Applicant: (See appropriate Priority Area under Part C.)
  - Employment Education and Training Program: A program that provides education and/or training to welfare recipients, at-risk youth, public housing tenants, displaced workers, homeless and low-income individuals and that has demonstrated organizational experience in education and training for these populations (TANF, JTPA, etc).
  - Empowerment Zones and Enterprise Communities: Those communities designated as such by the Secretaries of Agriculture or Housing and Urban Development.
  - Equity Investment: The provision of capital to an organization for use as working capital or for some other specified purpose in return for a portion of ownership.
  - Indian Tribe: A tribe, band, or other organized group of Indians recognized in the State in which it resides or which is considered by the Secretary of the Interior to be an Indian tribe or an Indian organization for any purpose. For the purpose of Priority Area 1.0 (Urban and Rural Community Economic Development) an Indian tribe or Indian organization is ineligible unless the applicant organization is a private non-profit community economic development corporation.
  - Job Creation: New jobs that are realized as a result of the OCS funded project which includes development of either new or expanding business, service, physical and commercial activities. The jobs created must not have been in existence prior to the start of the project. Note: Job creation is to be distinguished from job placement services.
  - Job Placement: Placing a person in an existing vacant job of a business, service, or commercial activity not related to new development or expansion activity.
  - Job Retention: Jobs that are saved as a result of the OCS grant. (For example, saving a business that may be headed towards bankruptcy or stopping a business that may be relocating which would cause the loss of low-income jobs).
  - Letter of Commitment: A signed, written binding pledge from a grantor or lender of funds for a specified purpose which sets forth terms and conditions only subject to receiving an award of OCS Grant Funds.
  - Loan: Money lent to a borrower under a binding pledge for a given purpose to be repaid, usually at a stated rate of interest and within a specified period of time.
  - Poverty Income Guidelines: The guidelines, published annually by the U.S. Department of Health and Human Services, which establish the level of poverty defined as low-income for individuals and their families.
  - Program Income: Gross income earned by the recipient (during the project period) that is directly generated by a supported activity or earned as a result of the award.
  - Project Period: The total time for which a project is approved for OCS support, including any approved extensions.
  - Revolving Loan Fund: A capital fund established to make loans whereby principal repayments of loans are repaid into the fund and re-lent to other borrowers.
  - Self-employment: The state of an individual or individuals who engage in self-directed economic activities.
  - Self-sufficiency: The economic state not requiring public assistance for an individual and his (her) immediate family.
  - Technical Assistance: A problem-solving event generally utilizing the services of an expert. Such services may be provided on-site, by telephone, or by other communications. These services address specific problems and are intended to assist with the immediate resolution of a given problem or set of problems.
  - Temporary Assistance to Needy Families (TANF): Title I of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193) creates the TANF program which transforms welfare into a system that requires work in exchange for time-limited assistance. The law specifically eliminates any individual entitlement to or guarantee of assistance, repeals the Aid to Families with Dependent Children (AFDC) program, Emergency Assistance (EA) and Job Opportunities and Basic Skills Training (JOBS) programs, and replaces them with a Block grant entitlement to States under Title IV of the Social Security Act.
  - Third Party In-kind Contributions: The value of non-cash contributions provided by non-federal third parties which may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefitting and specifically identifiable to the project or program.

## Part B—Application Prerequisites

### 1. Eligible Applicants

Priority areas included in this Program Announcement have differing eligibility requirements. Therefore, eligible applicants are identified in the individual priority area descriptions found in Part C.

### 2. Availability of Funds

a. All grant awards are subject to the availability of appropriated funds. Approximately \$25,332,000 is available for FY 1997. The approximate amount of funds anticipated to be available for each Priority Area is summarized below:

Priority area	Fiscal year 1997 funds
Priority Area 1.0 Urban and Rural Community Economic Development:	
1.1 Urban and Rural Community Economic Development (Operational) .....	\$15,772,000
1.2 Urban and Rural Community Economic Development (HBCU Set-Aside) .....	2,100,000
1.3 Urban and Rural Community Economic Development (Pre-Developmental Set-Aside) .....	750,000
1.4 Urban and Rural Community Economic Development (Developmental Set-Aside) .....	2,500,000
1.5 Administrative and Management Expertise (Set Aside) .....	500,000
1.6 Training & Technical Assistance (Set Aside) .....	210,000
Priority Area 2.0 Rural Community Development Activities:	
2.1 Rural Community Facilities Development (Water and Waste Water Treatment Systems Development) .....	3,500,000

b. *Grant Amounts.* The approximate amounts to be granted for projects under the Priority Areas are indicated below:

Sub-priority area	Funding limit
1.1 .....	Approximately 10 at \$700,000.
1.2 .....	Approximately 20 at \$350,000.
1.3 .....	Approximately 6 at \$350,000.
1.4 .....	Approximately 10 at \$75,000.
1.5 .....	Approximately 10 at \$250,000.
1.6 .....	Approximately 1 at \$500,000.
2.1 .....	Approximately 1 at \$210,000.
	Approximately 8 from \$300,000–\$533,000.

### 3. Project and Budget Periods

For Sub-Priority Areas 1.1, 1.2, and 1.4, applicants with projects involving construction only, may request project and budget periods of up to 36 months. Applicants for non-construction projects under these priority areas may request projects and budget periods of up to 17 months. Sub-Priority Areas 1.5, and 1.6 may request project and budget periods of up to 17 months. For Sub-Priority Area 2.1, grantees will be funded for a 12 month project period. For Sub-Priority Area 1.3, applicants may request project and budget periods of up to 12 months.

### 4. Mobilization of Resources

OCS encourages and strongly supports leveraging of resources through public/private partnerships which can mobilize cash and/or third-party in-kind contributions.

### 5. Program Beneficiaries

Projects proposed for funding under this Announcement must result in direct benefits to low-income people as defined in the most recent Annual Revision of Poverty Income Guidelines published by DHHS.

Attachment A of the appendices to this Announcement is an excerpt from the Poverty Income Guidelines currently in effect. Annual revisions of these guidelines are normally published in the **Federal Register** in February or early March of each year. Grantees will be required to apply the most recent guidelines throughout the project period. These revised guidelines may be obtained at public libraries, Congressional offices, or by writing the Superintendent of Documents, U.S. Government Printing Office (GPO), Washington, D.C. 20402. Also, see "For Further Information Contact" at the beginning of this Announcement.

No other government agency or privately-defined poverty guidelines are applicable for the determination of low-income eligibility for these OCS programs.

Note, however, that low-income individuals granted lawful temporary resident status under Sections 245A or 210A of the Immigration and Nationality Act, as amended by the Immigration Reform and Control Act of 1986 (Public law 99-603) may not be eligible for direct or indirect assistance based on financial need under this program for a period of five years from the date such status was granted.

### 6. Number of Projects in Application

An application may contain only one project except for Sub-Priority Areas 1.3, 1.5, and 1.6 where applicants are researching various opportunities, are sharing administrative and management expertise with current OCS grantees, or are providing training and/or technical assistance for current OCS grantees, including the organization of seminars and other activities in assisting Community Development Corporations. Applications which are not in compliance with this requirement will be ineligible for funding.

### 7. Multiple Submittals

There is no limit to the number of applications that can be submitted under a specific program priority area as long as each application contains a proposal for a different project. However, an applicant can receive only one grant in each Priority Area. Also applicants that receive more than one grant for a common budget/project periods must be mindful that salaries and wages claimed for the same persons cannot collectively exceed 100% of total annual salary.

### 8. Sub-contracting or Delegating Projects

OCS does not fund projects where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested.

### 9. Previous Performance and Current Grants

Previous performance of applicants will be considered an important determining factor in the grant award decisions. Any applicant which has three or more active OCS grants may only be funded under exceptional circumstances.

### Part C—Program Priority Areas

The program priority areas of the Office of Community Services' Discretionary Grants Program are as follows:

#### Priority Area 1.0 Urban and Rural Community Economic Development

##### Sub-Priority Areas under 1.0

- 1.1 Urban and Rural Community Economic Development (Operational).
- 1.2 Urban and Rural Community Economic Development (HBCU Set-Aside).
- 1.3 Urban and Rural Community Economic Development (Pre-Developmental Set-Aside).
- 1.4 Urban and Rural Community Economic Development (Developmental Set-Aside).
- 1.5 Administrative and Management Expertise (Set-Aside)
- 1.6 Training and Technical Assistance (Set-Aside)

#### Priority Area 2.0 Rural Community Development Activities

##### Sub-Priority Area under 2.1

Rural Community Facilities Development (Water and Waste Water Treatment Systems Development).

#### Priority Area 1.0 Urban and Rural Community Economic Development

Eligible applicants are private, non-profit community development corporations (CDCs) governed by a board consisting of residents of the community and business and civic leaders which have as a principal purpose planning, developing, or

managing low-income housing or community development projects.

The purpose of this priority area is to encourage the creation of projects intended to provide employment and business development opportunities for low-income people through business, physical or commercial development. Generally the opportunities must aim to improve the quality of the economic and social environment of AFDC/TANF recipients; low-income residents including displaced workers; at-risk teenagers; noncustodial parents, particularly those of children receiving AFDC/TANF assistance; individuals residing in public housing; individuals who are homeless; and those with developmental disabilities. It is intended to provide resources to eligible applicants (CDCs) but also has the broader objectives of arresting tendencies toward dependency, chronic unemployment, and community deterioration in urban and rural areas. Sub-Priority Area 1.5 is intended to provide administrative and management expertise to current Office of Community Services' grantees who are experiencing problems in the implementation of urban and rural community economic development projects. Sub-Priority Area 1.6 is intended to provide training and technical assistance to groups of community development corporations in developing or implementing projects funded under this section and to generally enhance the viability and competence of community development corporations.

This program also seeks to attract additional private capital into distressed communities, including empowerment zones and enterprise communities, and to build and/or expand the ability of local institutions to better serve the economic needs of local residents.

#### Sub-Priority Area 1.1 Urban and Rural Community Economic Development (Operational)

Funds will be provided to a limited number of private non-profit community development corporations for business development activities at the local level. Funding will be provided for specific projects and will require the submission of work plans and/or business plans that meet the test of economic feasibility.

For Fiscal Year 1997, it is anticipated that approximately twenty (20) grants up to a maximum of \$350,000 will be awarded and approximately ten (10) grants over \$350,000 but up to \$700,000 will be made. Competition for these funds will be restricted to either the \$350,000 and under or over \$350,000

but up to \$700,000 categories. Each category of funds will compete only among themselves.

Projects must further the Departmental goals of strengthening American families and promoting their self-sufficiency. OCS is particularly interested in receiving applications that stress public-private partnerships that are directed toward the development of economic self-sufficiency in distressed communities through projects that focus on providing employment and business development opportunities for low-income people through business, service, physical and commercial development.

Applicants located in empowerment zones and enterprise communities are urged to submit applications. Likewise, applicants are encouraged to foster partnerships with child support enforcement agencies to increase the capability of low-income noncustodial parents, particularly those of children receiving AFDC/TANF assistance, to fulfill their parental responsibilities. Such applicants may request funds for a business development project or a project that demonstrates innovative ways to create jobs for low income persons in the targeted group or community.

Applications must show that the proposed project:

- (1) Creates full-time permanent jobs except where an applicant demonstrates that a permanent part-time job produces actual wages that exceed the HHS poverty guidelines. Seventy-five percent (75%) of those jobs created must be filled by low-income residents of the community and must also provide for career development opportunities. Project emphasis should be on employment of individuals who are unemployed or on public assistance, with particular emphasis on those that are at-risk teenagers; AFDC/TANF recipients; low-income noncustodial parents, particularly those of children receiving AFDC/TANF assistance; individuals residing in public housing; and individuals who are homeless. While projected employment in future years may be included in the application, it is essential that the focus of employment projects concentrate on those jobs created during the duration of the OCS project period; and/or

- (2) Creates a significant number of business development opportunities for low-income residents of the community or significantly aids such residents in maintaining economically viable businesses; and

- (3) Provides for establishing the self-sufficiency of program participants.

In the evaluation process, favorable consideration will be given to applicants under this priority area who show the lowest cost-per-job created. Unless there are extenuating circumstances, OCS will not fund projects where the cost-per-job in OCS funds exceeds \$15,000.

In addition, favorable consideration in the evaluation process will be given to applicants who demonstrate their intention to coordinate services with the local AFDC/TANF offices and/or other employment education and training offices and child support enforcement agencies that serve the proposed area. The offices and agencies should serve welfare recipients, at-risk youth, public housing tenants, displaced workers, homeless and low-income individuals (as defined by the Annual Revision to Poverty Income Guidelines published by DHHS) including noncustodial parents. Applicants should submit a written agreement from the applicable office or agency that indicates what actions will be taken to integrate/coordinate services that relate directly to the project for which funds are being requested. The agreement should include the goals and objectives (including target groups) that the applicant and the employment education and training office and child support enforcement agency expect to reach through their collaboration. It should describe the cooperative relationship, including specific activities and/or actions each of these entities proposes to carry out in support of the project, and the mechanism(s) to be used in coordinating those activities if the project is funded by OCS. Documentation that illustrates the organizational experience of the employment education and training office should also be included.

Any applicant which proposes to use the requested OCS funds to make an equity investment such as the purchase of stock, or a loan to a business concern, including a wholly-owned subsidiary, or to make a sub-grant with a portion of the OCS funds, in addition to submission of a business plan, must include the terms of the proposed transaction. For example, regarding a stock purchase, the cost per share, number of shares and percentage of ownership is needed. Also the application must include a written agreement with the third party that commits the latter to the following:

1. A minimum of 75% of the jobs to be created under the grant will be for low-income individuals.

2. The grantee will have authority to screen applicants for jobs to be filled by

low-income individuals and to verify their eligibility.

3. The grantee will have a seat on the Board of Directors of the third party's firm if the grantee's investment equals 25% or more of the firm's assets. (Not applicable to loans made to third parties.)

4. Reports will be made on a regular basis to the grantee on the use of grant funds.

5. A procedure will be developed to assure that there are no duplicate counts of jobs created.

6. Detailed information will be provided on how the grant funds will be used by the third party by submitting a Source and Use of Funds Statement. In addition, the agreement will provide details on how the community development corporation will provide support and technical assistance to the third-party in areas of recruitment and retention of low-income individuals.

OCS encourages applications that will develop linkages or agreements with local agencies responsible for administering AFDC/TANF programs and child support enforcement agreements. OCS would expect these programs to create new jobs for AFDC/TANF recipients; and low-income noncustodial parents, particularly those of children receiving AFDC/TANF assistance. These initiatives can be accomplished through a variety of business development projects funded under this priority area, i.e., business expansions, new business development and self-employment activities, etc.

OCS does not fund education and training programs. In projects where participants must be trained, any funds that are proposed to be used for training purposes must be limited to providing specific job-related training to those individuals who have been selected for employment in the grant supported project which includes development of either new or expanding business, service, physical and commercial activities.

Projects involving training and placement for existing vacant positions will be disqualified.

Projects which would result in the relocation of a business from one geographic area to another with the possible displacement of employees are discouraged.

OCS will not consider applications that propose to establish or expand revolving loan funds nor proposals that are geared towards the establishment of Small Business Investment Corporations or Minority Enterprise Small Business Investment Corporations.

OCS does not anticipate approving the funding of applications which

propose to sub-grant all or most of the grant activities to an unrelated entity.

Applicants must be aware that projects funded under this priority area must be operational by the end of the project period, i.e., businesses must be in place, and low-income individuals actually employed in those businesses.

See Part G 8 for special instructions on developing a program narrative for this priority area.

#### Sub-Priority Area 1.2 Urban and Rural Community Economic Development (HBCU Set-Aside)

For Fiscal Year 1997, it is anticipated that a set-aside fund of \$2,100,000 will be included under this priority area for eligible applicants that submit projects that will be carried out in conjunction with Historically Black Colleges and Universities (HBCU), as defined in Executive Order Number 12677, dated April 28, 1989, through contract or sub-grant. Such projects must conform to the purposes, requirements and prohibitions applicable to those submitted under Sub-Priority Area 1.1.

These projects should reflect a significant partnership role for the college or university, and the applicant in doing so will be considered to have fulfilled the goals of the evaluation criterion for Public-Private Partnerships and will be granted the maximum number of points in that category. Applications for these set-aside funds which are not funded due to the limited amount of funds available will also be considered competitively within the larger pool of eligible applicants under Sub-Priority Area 1.1.

Any funds that are not used under this sub-priority area due to the limited number of highly scored applications will be rolled over into Sub-Priority Area 1.1.

Any funds that are proposed to be used for training purposes must be limited to providing specific job related training to those individuals who have been selected for employment in the grant supported project which includes development of either new or expanding business, service, physical and commercial activities.

See Part G 8 for special instructions on developing a work program for this priority area.

#### Sub-Priority Area 1.3 Urban and Rural Community Economic Development (Pre-Developmental Set-Aside)

OCS intends in this Sub-priority area to provide funds to recently-established private, non-profit community development corporations which propose to undertake economic

development activities in distressed communities.

OCS recognizes that there are a number of newly-organized non-profit community development corporations which have identified needs in their communities but have not had the staff or other resources to develop projects to address those needs. This lack of resources also might be affecting their ability to compete for funds, such as those provided under Sub-priority area 1.1 (Operational Grants), since their limited resources would preclude them from developing a comprehensive business plan and/or mobilizing resources. OCS has an interest in providing support to these new entities in order to enable them to become more firmly established in their communities, thereby bringing technical expertise and new resources to these previously unserved or underserved communities. Therefore, OCS is setting aside funds in Fiscal Year 1997 for grants to private, non-profit community development corporations that have never received OCS funding; have been in existence for no more than three years or have been in existence longer than three years but have no record of participation in economic development type projects. For the latter, a CDC must state that it has not been active. Also, for this sub-priority area only, the phrase "no participation in economic development type projects" means an eligible applicant has not sponsored nor had any significant participation in projects that have provided employment or business development opportunities through business, service, physical and commercial activities. In addition, applicants with housing experience must not have significant participation in planning, developing and managing housing with an aggregate cost or investment value of \$1 million or more. We anticipate that grants of up to \$75,000 each will be made to eligible applicants. These grants will be made for a period of one year and will not require leveraged or mobilized funds.

These grants will be pre-developmental grants under which CDCs may incur costs to: (1) Evaluate the feasibility of potential projects which address identified needs in the low-income community and which conform to those projects and activities allowable under Sub-Priority Areas 1.1, 1.2, and 1.4; (2) develop a Business Plan related to one of those projects; and (3) mobilize resources to be contributed to one of those projects, including the utilization of HBCUs.

Based on the availability of funds in Fiscal Year 1998, OCS will consider establishing a set-aside to provide

operational funds to those organizations which received pre-developmental grants. Grants might be for a maximum of \$250,000 and competition for those funds would be restricted to those organizations receiving Fiscal Years 1996 and 1997 pre-developmental grants. The Business Plan developed as a result of the pre-developmental grant would be submitted as part of the competitive application.

Specifically, each application for Fiscal Year 1997 funded under this Sub-priority Area must include the following as part of the project narrative:

1. Description of the impact area, i.e., a description of the low-income area it proposes to address;
2. Analysis of need in the distressed community;
3. How the potential projects relate to applicant's organizational goals and previous experience (if any);
4. Project design and implementation factors including a discussion of potential projects that might be implemented to address identified needs, a strategy for conduct of feasibility studies on potential projects and quarterly work plans with specific task timelines and a self-evaluation component; and
5. Project objectives and measurable impact, i.e., a discussion of preparing a business plan on only one selected project based on results of the feasibility studies and plan for mobilization of nondiscretionary dollars to implement it.

Applications for these set-aside funds which are not funded due to the limited amount of funds available may also be considered competitively within the larger pool of eligible applicants under Sub-Priority Area 1.1.

#### Sub-Priority Area 1.4 Urban and Rural Community Economic Development (Developmental Set-Aside)

OCS intends in this Sub-priority area to provide funds to organizations which received grants from OCS in Fiscal Years 1995 and 1996 under the Pre-Developmental grant program. These organizations will compete only among themselves. Such projects must conform to the purposes, requirements and prohibitions applicable to those submitted under Priority Area 1.1. Applications which are not funded within this set-aside due to the limited amount of funds available will also be considered competitively within the larger pool of eligible applicants under Sub-Priority Area 1.1.

#### Sub-Priority Area 1.5 Administrative and Management Expertise (Set-Aside)

OCS believes that one of the most effective means of assuring the successful operation of a project under the Discretionary Grants Program area is through the sharing amongst CDCs of their experiences in dealing with the day-to-day issues and challenges presented in promoting community economic development. Accordingly, OCS strongly encourages more experienced CDCs to share their administrative and management expertise with less experienced CDCs or with those who have encountered difficulties in operationalizing their work programs. In order to facilitate this, OCS will provide funds to one or more community development corporations to assist with their efforts to enhance the management and operational capacities of the less experienced CDCs or those having difficulties.

We anticipate that the grant(s) would be for a maximum of \$500,000 with a project period not to exceed 17 months. OCS will share with the grantee(s) information on other grantees seeking to benefit from such assistance. Such formal requests could also be initiated by a grantee with the concurrence of OCS. These contacts may occur on-site, by telephone, or by other methods of communication. Costs incurred in connection with participating in such activities will be borne by the recipient(s) of the OCS grant under this sub-priority area.

#### Sub-Priority Area 1.6 Training and Technical Assistance (Set-Aside)

Funds will be awarded to one organization under this priority area for the purpose of providing training and technical assistance to strengthen the network of CDCs.

We anticipate that the grant will be for \$210,000 with a grant period not to exceed 17 months. Applicant must have the ability to collect and analyze data nationally that may benefit CDCs and be able to disseminate information to all of OCS funded grantees; publish a national directory of funding sources for CDCs (public, corporate, foundation, religious); publish research papers on specific aspects of job creation by CDCs; design and provide information on successful projects and economic niches that CDCs can target. The applicant will also be responsible for the development of instructional programs, national conferences, seminars, and other activities to assist community development corporations.

Eligible applicants are private non-profit organizations. Applicants must operate on a national basis and have significant and relevant experiences in working with community development corporations.

#### Priority Area 2.0 Rural Community Development Activities

##### Sub-Priority Area 2.1 Rural Community Facilities Development (Water and Waste Water Treatment Systems Development)

Funds will be provided under this sub-priority area to help low-income rural communities develop the capability and expertise to establish and/or maintain affordable, adequate and safe water and waste water treatment facilities.

Funds provided under this Sub-priority area may not be used for construction of water and waste water treatment systems or for operating subsidies for such systems, but other mobilized funds may be used for these activities. Therefore, it is suggested that applicants coordinate projects with the Farmers Home Administration (FmHA) and other Federal and State agencies to ensure that funds for hardware for local community projects are available.

Eligible applicants are multi-state, regional private non-profit organizations that can provide training and technical assistance to small, rural communities in meeting their community facility needs.

See Part G 8 for special instructions on developing a program narrative for this priority area.

#### Part D—Criteria for Review and Evaluation of all Applications

##### 1. Criteria for Review and Evaluation of All Applications Submitted Under Sub-Priority Areas 1.1, 1.2, and 1.4

(a) *Criterion I: Analysis of Need (Maximum: 5 points)* The application documents that the project addresses a vital need in a distressed community. (0–3 points)

Most recent available statistics and other information are provided in support of its contention. (0–2 points)

(b) *Criterion II: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 25 points)*

(i) *Organizational Experience in Program Area (sub-rating: 0–15 points).*

Documentation provided indicates that projects previously undertaken have been relevant and effective and have provided permanent benefits to the low-income population. (0–5 points)

The applicant has demonstrated the ability to implement major activities in such areas as business development,

commercial development, physical development, or financial services; the ability to mobilize dollars from sources such as the private sector (corporations, banks, etc.), foundations, the public sector, including State and local governments, or individuals; that it has a sound organizational structure and proven organizational capability; and an ability to develop and maintain a stable program in terms of business, physical or community development activities that will provide needed permanent jobs, services, business development opportunities, and other benefits to community residents. (0–10 points)

(ii) *Staff Skills, Resources and Responsibilities (sub-rating 0–10 points).*

The application describes in brief resume form the experience and skills of the project director who is not only well qualified, but his/her professional capabilities are relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. (0–5 points)

The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. (0–2 points)

The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient time of senior staff will be budgeted to assure timely implementation and cost effective management of the project. (0–3 points)

(c) *Criterion III: Project Implementation (Maximum: 25 points).*

The Work Plan, or Business Plan where appropriate, is both sound and feasible. Briefly the plan should describe the key work tasks and show how the project objectives will be accomplished including the development of business and creation of jobs for low-income persons during the allowable OCS project period. The project is responsive to the needs identified in the Analysis of Need. (0–5 points)

It sets forth realistic quarterly time targets by which the various work tasks will be completed. (0–5 points)

Critical issues or potential problems that might impact negatively on the project are defined and the project objectives can be reasonably attained despite such potential problems. (0–5 points)

The application contains a full and accurate description of the proposed use

of the requested financial assistance. Also, if the project proposes the development of a new or expanding business, service, physical or commercial activity, the application must address applicable elements of a business plan which are included in the section on "Instructions for Completing Application Package" of the Program Announcement. Special attention should be given to assure that the financial plan element, which indicates the project's potential and timetable for financial self-sufficiency, is included. It must include the following exhibits for the first three years (on a quarterly basis) of business' operations: Profit and Loss Forecasts, Cash Flow Projections and Proforma Balance Sheets. Also, an initial Source and Use of Funds statement for all project funding must be included. (0–10 points)

(d) *Criterion IV: Significant and Beneficial Impact (Maximum: 20 points).*

(i) *Significant and Beneficial Impact (sub-rating: Maximum: 0–5 points).*

The proposed project will produce permanent and measurable results that will reduce the incidence of poverty and AFDC/TANF assistance in the community. (0–3 points)

The OCS grant funds, in combination with private and/or other public resources, are targeted into low-income communities, distressed communities, and/or designated enterprise zones and enterprise communities. (0–2 points)

(ii) *Community Empowerment Consideration and Partnership with Child Support Enforcement Agency (Maximum: 0–5 points).*

Special consideration will be given to applicants who are located in areas which are characterized by poverty and other indicators of socio-economic distress such as a poverty or AFDC/TANF assistance rate of at least 20%, designation as an Empowerment Zone or Enterprise Community (EZ/EC), high levels of unemployment, high levels of incidences of violence, gang activity, crime, drug use and low-income noncustodial parents of children receiving AFDC/TANF. (0–3 points)

Applicants should document that they were involved in the preparation and implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner; and how the proposed project will support the goals of that plan. Also applicants should document that they have entered into partnership agreements with local Child Support Enforcement agencies to increase capability of low-income parents and

families to fulfill their parental responsibilities. (0–2 points)

**Note:** Applicants that have projects located in EZ/EC target areas or those who have included signed current agreements with child support enforcement agencies will automatically receive the maximum 2 points.

(iii) *Cost-per-Job (sub-rating: 0–5 points).*

During the project period, the proposed project will create new, permanent jobs or maintain permanent jobs for low-income residents at a cost-per-job below \$15,000 in OCS funds *unless* there are extenuating circumstances, i.e., Alaska where the cost of living is much higher.

**(Note:** The maximum number of points will be given to those applicants proposing estimated cost-per-job for low-income residents of \$10,000 or less of OCS requested funds. Higher cost-per-job estimates will receive correspondingly fewer points unless adequately justified by extenuating circumstances.)

(iv) *Career Development Opportunities (sub-rating: 0–5 points).*

The application documents that the jobs to be created for low-income people have career development opportunities which will promote self-sufficiency.

(e) *Criterion V: Public-Private Partnerships (Maximum: 20 points).*

(i) *Mobilization of resources (sub-rating: 15 points).*

The application documents that the applicant will mobilize from public and/or private sources cash and/or in-kind contributions valued at an amount equal to the OCS funds requested. Applicants documenting that the value of such contributions will be at least equal to the OCS funds requested will receive the maximum number of points for this subcriterion. Lesser contributions will be given consideration based upon the value documented.

**Note 1:** Cash resources such as cash or loans contributed from all project sources (except for those contributed directly by the applicant) must be documented by letters of commitment from third parties making the contribution. Third party in-kind contributions such as equipment or real property contributed by applicant or third parties must be documented by an inventory for equipment and a copy of deed or other legal document for real property. In addition, future or projected program income such as gross or net profits from the project or business operations will not be recognized as mobilized or contributed resources.

**Note 2:** Applicants under Sub-Priority Area 1.2 who have a signed, written agreement for a partnership with Historically Black Colleges and Universities are deemed to have fully met this criterion and will receive the maximum number of points if they include the agreement with the HBCU.



(ii) *Integration/coordination of services (sub-rating: 5 points).*

The applicant demonstrates a commitment to or agreements with local agencies responsible for administering, child support enforcement, employment, education and training programs (such as JTPA) to ensure that welfare recipients, at-risk youth, displaced workers, public housing tenants, homeless and low-income individuals and low-income noncustodial parents will be trained and placed in the newly created jobs. The applicant provides written agreements from the local AFDC/TANF or other employment, education and training office, and child support enforcement agency indicating what actions will be taken to integrate/coordinate services that relate directly to the project for which funds are being requested. (0–2 points)

Specifically, the agreements should include: (1) The goals and objectives that the applicant and (a) the AFDC/TANF or other employment, education and training office and/or (b) child support enforcement agency expect to achieve through their collaboration; (2) the specific activities/actions that will be taken to integrate/coordinate services on an on-going basis; (3) the target population that this collaboration will serve; (4) the mechanism(s) to be used in integrating/ coordinating activities; (5) how those activities will be significant in relation to the goals and objectives to be achieved through the collaboration; and (6) how those activities will be significant in relation to their impact on the success of the OCS-funded project. (0–2 points)

The applicant should also provide documentation that illustrates the organizational experience related to the employment education and training program (refer to Criterion II for guidelines). (0–1 point)

(f) *Criterion VI: Budget Appropriateness and Reasonableness (Maximum: 5 points).*

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. (0–2 points)

The application includes a detailed budget break-down for each of the budget categories in the SF-424A. The applicant presents a reasonable administrative cost. (0–2 points)

The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0–1 point)

## 2. *Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.3*

(a) *Criterion I: Analysis of Need (Maximum: 15 points).*

The application documents that there are clearly identified needs in a low-income community not being effectively addressed. (0–10 points)

Most recent available statistics and other information are provided in support of its contention. (0–5 points)

(b) *Criterion II: Organizational Capability and Capacity (Maximum: 20 Points).*

(i) *Organizational experience in program area (sub-rating: 5 Points).*

Each applicant must briefly show why their organization can successfully implement the project for which they are requesting funds. (0–3 points)

If an applicant has a history of prior achievements in economic development within the past three (3) years, it should address the relevance and effectiveness of those projects undertaken, especially their cost effectiveness and the relevance and effectiveness of any services and the permanent benefits provided to the targeted population. (0–2 points)

(ii) *Management capacity (sub-rating: 5 points).*

Applicants must fully detail their ability to implement sound and effective management practices and if they have been recipients of other Federal or other governmental grants, they must also detail that they have consistently complied with financial and program progress reporting and audit requirements. (0–3 points)

Applicants should submit any available documentation on their management practices and progress reporting procedures along with a statement by a Certified or Licensed Public Accountant as to the sufficiency of the applicant's financial management system to protect adequately any Federal funds awarded under the application submitted. (0–2 points)

**Note:** The documentation of the applicant's management practices, etc., and statement from the Accountant on the financial management system must address the applicant organization's own internal system rather than an external system of an affiliate, partner or management support organization, etc.

(iii) *Staffing (sub-rating: 5 points).*

The application must fully describe (e.g., resumes) the experience and skills of key staff showing that they are not only well qualified but that their professional capabilities are relevant to the successful implementation of the project.

(iv) *Staffing responsibilities (sub-rating: 5 points).*

The application must describe how the assigned responsibilities of the staff are appropriate to the tasks identified for the project.

(c) *Criterion III: Project Design, Implementation and Evaluation (Maximum: 30 Points).*

(i) *Project implementation component (sub-rating: 25 points).*

The work plan must address a clearly identified need in the low-income community described in Criterion I. The plan must include a methodology to evaluate the feasibility of potential projects that conform to the type projects and activities allowable under Sub-priority areas 1.1, 1.2, and 1.4 (0–10 points)

It must set forth realistic quarterly time schedules of work tasks by which the objectives (including the development of a business plan and mobilization of resources) will be accomplished. Because quarterly time schedules are used by OCS as a key instrument to monitor progress, failure to include these time targets will seriously reduce an applicant's point score in this criterion. (0–10 points)

It must define critical issues or potential problems that might impact negatively on the project and it must indicate how the project objectives will be attained notwithstanding any such potential problems. (0–5 points)

(ii) *Evaluation component (sub-rating: 5 points).*

All proposals should include a self-evaluation component. The evaluation data collection and analysis procedures should be specifically oriented to assess the degree to which the stated goals and objectives are achieved. (0–3 points)

Qualitative and quantitative measures reflective of the scheduling and task delineation in (1) above should be used to the maximum extent possible. This component should indicate the ways in which the potential grantee would integrate qualitative and quantitative measures of accomplishment and specific data into its program progress reports that are required by OCS from all pre-development grantees. (0–2 points)

(d) *Criterion IV: Significant and Beneficial Impact (Maximum: 25 Points).*

Funding under this Sub-priority area is targeted to result in a Business Plan for a proposed project. The proposed project around which the Business Plan is developed with the use of OCS grant funds must be targeted into low-income communities, and/or designated empowerment zones or enterprise communities with the goals of



increasing the economic conditions and social self-sufficiency of residents. Also the project proposes to produce permanent and measurable results that will reduce the incidence of poverty and AFDC/TANF recipients in the low-income area targeted. (0–20 points)

**Note:** This Sub-priority area permits applicants to conduct several feasibility studies related to various potential projects. However on completion of the studies, one proposed project must be selected and a business plan prepared for the selected project.

The activity targets mobilization of non-discretionary program dollars from private sector individuals, public resources, corporations, and foundations including the utilization of Historically Black Colleges and Universities, if the proposed project is implemented. (0–5 points)

(e) *Criterion V: Budget Appropriateness and Reasonableness (Maximum: 10 points).*

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0–5 points)

The application includes a narrative detailed budget break-down for each of the budget categories in the SF 424–A. The applicant presents a reasonable administrative cost. (0–5 points)

**3. Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.5**

(a) *Criterion I: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 20 points).*

(i) *Organizational Experience in Program Area (sub-rating: 0–10 points).*

Applicant has documented the capability to provide leadership in solving long-term and immediate problems locally and/or nationally in such areas as business development, commercial development, organizational and staff development, board training, and micro-entrepreneurship development. (0–2 points)

Applicant must document a capability (including access to a network of skilled individuals and/or organizations) in two or more of the following areas: Business Management, including strategic planning and fiscal management; Finance, including development of financial packages and provision of financial/accounting services; and Regulatory Compliance, including assistance with zoning and permit compliance. (0–2 points)

Further, the applicant has the demonstrated ability to mobilize dollars from sources such as the private sector (corporations, banks, foundations, etc.) and the public sector, including state and local governments. (0–2 points)

Applicant also demonstrates that it has a sound organizational structure and proven organizational capability as well as an ability to develop and maintain a stable program in terms of business, physical or community development activities that have provided permanent jobs, services, business development opportunities, and other benefits to poverty community residents. (0–2 points)

Applicants must indicate why they feel that their successful experiences would be of assistance to existing grantees which are experiencing difficulties in implementing their projects. (0–2 points)

(ii) *Staff Skills, Resources and Responsibilities (sub-rating 0–10 points).*

The application describes in brief resume form the experience and skills of the project director who is not only well qualified, but who has professional capabilities relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. (0–5 points)

The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. (0–3 points)

The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient time of senior staff will be budgeted to assure timely implementation and cost effective management of the project. (0–2 points)

(b) *Criterion II: Work Program (Maximum: 30 points).*

Based upon the applicant's knowledge and experience related to OCS's Discretionary Grants Program (particularly community economic development), the application should demonstrate in some specificity a thorough understanding of the problems a grantee may encounter in implementing a successful project. (0–15 points)

The application should include a strategy for assessing the specific nature of the problems, outlining a course of action and identifying the resources required to resolve the problems. (0–15 points)

(c) *Criterion III: Significant and Beneficial Impact (Maximum: 30 points).*

Project funds under this sub-priority area must be used for the purposes of transferring expertise directly, or by a contract with a third party, to other OCS funded grantees. Applicants must document how the success or failure of collaboration with these grantees will be documented. (0–15 points)

Applicants must demonstrate an ability to disseminate results on the kinds of programmatic and administrative expertise transfer efforts in which they participated and successful strategies that they may have developed to share expertise with grantees during the grant period. (0–10 points)

Applicants must also state whether the results of the project will be included in a handbook, a progress paper, an evaluation report or a general manual and why the particular methodology chosen would be most effective. (0–5 points)

(d) *Criterion IV: Public-Private Partnerships (15 Points).*

The applicant demonstrates that it has worked with local, regional, state or national offices to ensure that AFDC/TANF recipients, at-risk youth, displaced workers, public housing tenants, low-income noncustodial parents, homeless and otherwise low-income individuals have been trained and placed in newly created jobs. (0–10 points)

Applicant should demonstrate how it will design a comprehensive strategy which makes use of other available resources to resolve typical and recurrent grantee problems. (0–5 points)

(e) *Criterion V: Budget Appropriateness and Reasonableness (Maximum: 5 points).*

Applicant documents that the funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The application includes a narrative detailed budget break-down for each of the appropriate budget categories in the SF-424A. (0–3 points)

The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0–2 points)

**4. Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.6**

(a) *Criterion I: Need for Assistance (Maximum: 10 points).*

The application documents that the project addresses a vital nationwide need related to the purposes of Priority

Area 1.0 and provides data and information in support of its contention.

(b) *Criterion II: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 20 points).*

(i) *Organizational Experience.*

Applicant has documented the capability to provide leadership in solving long-term and immediate problems locally and/or nationally in such areas as business development, commercial development, organizational and staff development, board training, and micro-entrepreneurship development. Applicant must document a capability (including access to a network of skilled individuals and/or organizations) in two or more of the following areas: Business Management, including strategic planning and fiscal management; Finance, including development of financial packages and provision of financial/accounting services; and Regulatory Compliance, including assistance with zoning and permit compliance. (0–10 points)

(ii) *Staff Skills.*

The applicants's proposed project director and primary staff are well qualified and their professional experiences are relevant to the successful implementation of the proposed project. (0–10 points)

(c) *Criterion III: Work Plan (Maximum 35 points).*

Based upon the applicant's knowledge and experience related to OCS's Discretionary Grants Program (particularly community economic development), the applicant must develop and submit a detailed and specific work plan that is both sound and feasible. Specifically, the work plan should include the following elements:

(i) Demonstrate that all activities are comprehensive and nationwide in scope, and adequately described and appropriately related to the goals of the program. (0–10 points)

(ii) Demonstrate in some specificity a thorough understanding of the kinds of training and technical assistance that can be provided to the network of Community Development Corporations. (0–10 points)

(iii) Delineate the tasks and sub-tasks involved in the areas necessary to carry out the responsibilities to include training, technical assistance, research, outreach, seminars, etc. (0–5 points)

(iv) State the intermediate and end products to be developed by task and sub-task. (0–5 points)

(v) Provide realistic time frames and chronology of key activities for the goals and objectives. (0–5 points)

(d) *Criterion IV: Significant and Beneficial Impact (Maximum: 25 points).*

Project funds under this sub-priority area must be used for the purpose of providing training and technical assistance on a national basis to the network of Community Development Corporations.

Applicant must document how the success or failure of the assistance provided will be documented.

(i) Application should adequately describe how the project will assure long-term program and management improvements for Community Development Corporations; (0–10 points)

(ii) The project will impact on a significant number of Community Development Corporations; (0–10 points)

(iii) Applicant should document how the project will leverage or mobilize significant other non-federal resources for the direct benefit of the project; (0–5 points)

(e) *Criteria V: Budget Reasonableness (Maximum 10 points).*

(i) The resources requested are reasonable and adequate to accomplish the project. (0–5 points)

(ii) Total costs are reasonable and consistent with anticipated results. (0–5 points)

5. *Criteria for Review and Evaluation of All Applications Under Priority Area 2.1*

(a) *Criterion I: Analysis of Need (Maximum: 5 points).*

The application documents that the project addresses a vital need in a distressed community and provides statistics and other data and information in support of its contention.

(b) *Criterion II: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 15 points).*

(i) *Organizational Experience in Program Area (sub-rating: 0–5 points)*

Documentation provided indicates that projects previously undertaken have been relevant and effective and have provided permanent benefits to the low-income population.

Organizations which propose providing training and technical assistance have detailed competence in the specific program priority area and as a deliverer with expertise in the fields of training and technical assistance. If applicable, information provided by these applicants also addresses related achievements and competence of each cooperating or sponsoring organization.

(ii) *Staff Skills, Resources and Responsibilities (sub-rating 0–10 points).*

The application describes in brief resume form the experience and skills of

the project director who is not only well qualified, but his/her professional capabilities are relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient time of senior staff will be budgeted to assure timely implementation and cost effective management of the project.

(c) *Criterion III: Project Implementation (Maximum: 25 points).*

The Business Plan is both sound and feasible. The project is responsive to the needs identified in the Analysis of Need. It sets forth realistic quarterly time targets by which the various tasks will be completed. Critical issues or potential problems that might impact negatively on the project are defined and the project objectives can be reasonably attained despite such potential problems.

(d) *Criterion IV: Significant and Beneficial Impact (Maximum: 30 points).*

The application contains a full and accurate description of the proposed use of the requested financial assistance. The proposed project will produce permanent and measurable results that will reduce the incidence of poverty in the areas targeted and significantly enhance the self sufficiency of program participants. Results are quantifiable in terms of program area expectations, e.g., number of units of housing rehabilitated, agricultural and non-agricultural job placements, etc. The OCS grant funds, in combination with private and/or other public resources, are targeted into low-income and/or distressed communities and/or designated empowerment zones and enterprise communities.

(e) *Criterion V: Public-Private Partnerships (Maximum: 20 points).*

The application documents that the applicant will mobilize from public and/or private sources cash and/or in-kind contributions valued at an amount equal to the OCS funds requested. Applicants documenting that the value of such contributions will be at least equal to the OCS funds requested will receive the maximum number of points for this Criterion. Lesser contributions will be given consideration based upon the value documented.

(f) *Criterion VI: Budget Appropriateness and Reasonableness (Maximum: 5 points).*

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The application includes a narrative detailed budget break-down for each of the budget categories in the SF-424A. The applicant presents a reasonable administrative cost. The estimated cost to the government of the project also is reasonable in relation to the anticipated results.

## Part E—Application Procedures

### 1. Availability of Forms

Attachments B, C, and D contain all of the standard forms necessary for the application for awards under these OCS programs. These forms may be photocopied for the application.

Copies of the **Federal Register** containing this announcement are available at most local libraries and Congressional District Offices for reproduction. If copies are not available at these sources, they may be obtained by telephoning the office listed under the section entitled **FOR FURTHER INFORMATION** at the beginning of this announcement. Also, the **Federal Register** can be found on the Internet through GPO access at the following web address: [http://www.access.gpo.gov/su\\_docs/aces/aces140.html](http://www.access.gpo.gov/su_docs/aces/aces140.html) For purposes of this announcement, all applicants will use the following forms:

SF 424  
SF 424A  
SF 424B

Applications proposing construction projects will also present all required financial data using SF-424A. Instructions for completing the SF-424, SF-424A, and SF-424B are found in Attachments B, C, and D.

Part G contains instructions for the project abstract and project narrative. They will be submitted on plain bond paper along with the SF-424 and related forms.

Attachment K provides a checklist to aid applicants in preparing a complete application package for OCS.

The applicant must be aware that in signing and submitting the application for this award, it is certifying that it will comply with the Federal requirements concerning the drug-free workplace and debarment regulations set forth in Attachments E and F.

### 2. Application Submission

The closing time and date for receipt of applications are 4:30 p.m. (Eastern Standard Time) 60 days after

publication in the **Federal Register**. Applications received after 4:30 p.m. will be classified as late.

**Deadline:** Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at the U. S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S. W., Mail Stop 6C-462, Washington, D. C. 20447, Attention: Application for Discretionary Grants Program. Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date.

Applications handcarried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m., at the U. S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, S. W., Washington, D. C. 20024, between Monday and Friday (excluding Federal holidays). (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

ACF cannot accommodate transmission of applications by fax or through other electronic media. Therefore, applications transmitted to ACF electronically will not be accepted regardless of date or time of submission and time of receipt.

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

**Extension of deadlines:** ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., or when there is widespread disruption of the mails. However, if ACF does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicant.

One signed original application and four copies are required. The first page of the SF-424 must contain in the lower right-hand corner, a designation indicating under which sub-priority area funds are being requested (for example 1.1, 1.2, 1.3, 1.4, 1.5, 1.6 or 2.1). See Part F, section 1, subsection 11 for details.

### 3. Intergovernmental Review

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

All States and Territories except Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Oklahoma, Oregon, Palau, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia and Washington have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applicants from these twenty-three jurisdictions need take no action regarding E.O. 12372. Applicants for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

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

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations. Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which they intend to trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447.

A list of the Single Points of Contact for each State and Territory is included as Attachment G of this announcement.

#### 4. Application Consideration

Applications which meet the screening requirements in sections 5a and b below may be reviewed competitively. Such applications will be referred to reviewers for a numerical score and explanatory comments based solely on responsiveness to program priority area guidelines and evaluation criteria published in this announcement.

Applications submitted under all priority areas (with the exception of Sub-Priority Area 1.6) will be reviewed by persons outside of the OCS unit which will be directly responsible for programmatic management of the grant. The results of these reviews will assist the Director and OCS program staff in considering competing applications. Reviewers' scores will weigh heavily in funding decisions but will not be the only factors considered. Applications generally will be considered in order of the average scores assigned by reviewers. However, highly ranked applications are not guaranteed funding since the Director may also consider other factors deemed relevant including, but not limited to, the timely and proper completion of projects funded with OCS funds granted in the last five (5) years; comments of reviewers and government officials; staff evaluation and input; geographic distribution; previous program performance of applicants; compliance with grant terms under previous DHHS grants; audit reports; investigative reports; and applicant's progress in resolving any final audit disallowances on previous OCS or other Federal agency grants. Applicants with three or more active OCS grants at the time of review may be denied funding. In addition, for applications received under 1.0, OCS will consider the geographic distribution of funds among States and the relative proportion of funding among rural and urban areas in accordance with Section 681(b)(1)(D) of the Act.

OCS reserves the right to discuss applications with other Federal or non-Federal funding sources to ascertain the applicant's performance record.

#### 5. Criteria for Screening Applicants

##### (a) Initial Screening

All applications that meet the published deadline for submission will be screened to determine completeness and conformity to the requirements of this announcement. Only those applications meeting the following requirements will be reviewed and evaluated competitively. Others will be returned to the applicants with a notation that they were unacceptable.

(i) The application must contain a Standard Form 424 "Application for Federal Assistance" (SF-424), a budget (SF-424A), and signed "Assurances" (SF 424B) completed according to instructions published in Parts F and G and Attachments B, C, and D of this Program Announcement.

(ii) A project abstract must also accompany the standard forms.

(iii) The SF-424 and the SF-424B must be signed by an official of the organization applying for the grant who has authority to obligate the organization legally.

(iv) The application must be submitted for consideration under one priority area only.

##### (b) Pre-rating Review

Applications which pass the initial screening will be forwarded to reviewers and/or OCS staff prior to the programmatic review to verify that the applications comply with this Program Announcement in the following areas:

(i) *Eligibility*: Applicant meets the eligibility requirements for the priority area under which funds are being requested. Proof of non-profit status, i.e. the IRS determination letter of tax exemption, must be included in the Appendices of the Project Narrative where applicable. Applicants must also be aware that the applicant's legal name as required in SF-424 (Item 5) *must match* that listed as corresponding to the Employer Identification Number (Item 6).

(ii) *Number of Projects*: An application may contain only one project under Sub-Priority Areas 1.1, 1.2 and 1.4. However, an application may contain more than one project under Sub-Priority Areas 1.3, 1.5, and 1.6 where applicants are researching various opportunities, sharing administrative and management expertise with current OCS grantees, or are providing assistance to current OCS grantees, including the organization of seminars and other activities to assist Community Development Corporations and this project must be identified as responding to one of the program priority areas stated in this Announcement.

Applicants which are not in compliance with this requirement will be ineligible for funding.

(iii) *Grant amount*: The amount of funds requested does not exceed the limits indicated in Part C, 2, b for the appropriate priority area.

(iv) *Written Agreement When Applicant Proposes to Make Equity Investment, Loan, or Sub-Grant*: (Sub-

Priority Areas 1.1, 1.2 and 1.4); The application contains a written agreement signed by the applicant and the third party which includes all of the elements required in Part C.

An application may be disqualified from the competition and returned if it does not conform to one or more of the above requirements.

##### (c) Evaluation Criteria

Applications which pass the pre-rating review will be assessed and scored by reviewers. Each reviewer will give a numerical score for each application reviewed. These numerical scores will be supported by explanatory statements on a formal rating form describing major strengths and weaknesses under each applicable criterion published in the announcement.

The in-depth evaluation and review process will use the following criteria coupled with the specific requirements contained under each program priority area as described in Part C.

##### (d) Paperwork Reduction

Under the Paperwork Reduction Act of 1995, Public Law 104-13. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. This program announcement does not contain information collection requirements beyond those approved for ACF grant applications under OMB Control Number 0970-0062.

#### Part F—Contents of Application and Receipt Process

##### 1. Contents of Application

Each application, whether involving construction or not, should include one original and four additional copies of the following:

I. A signed "Application for Federal Assistance" (SF-424);

II. "Budget Information-Non-Construction Programs" (SF-424A);

III. A signed "Assurances-Non-Construction Programs" (SF-424B);

IV. A Project Abstract (a paragraph which succinctly describes the project (in 500 characters or less));

V. A Project Narrative consisting of the following elements preceded by a consecutively numbered Table of Contents that will describe the project in the following order:

A. Eligibility Confirmation

B. Analysis of Need (except for Sub-Priorities 1.5 and 1.6)

C. Organizational Experience in Program Area and Staff Responsibilities

1. Organizational experience in program area
  - a. Grantee
  - b. CPA certification of management system (applies to Sub-priority Area 1.3 only)
2. Staff Skills, Resources and Responsibilities
- D. Project Implementation
  1. Includes work plan or business plan. See instructions in Part G, "Instructions for Completing Application Package".
  2. Self evaluation component (applies to Sub-priority Area 1.3 only)
- E. Significant and Beneficial Impacts
  1. Significant and Beneficial Impacts
  2. Cost Per Job (except Sub-priority Areas 1.3, 1.5 and 1.6)
  3. Career Development Opportunities (except Sub-priority Areas 1.3, 1.5 and 1.6)
  4. Strategy for mobilization of resources and development of business plan (applies to Sub-priority Area 1.3 only)
- F. Public/Private Partnerships and Agreements
- G. Budget Appropriateness and Reasonableness

VI. Appendices including: proof of nonprofit status by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the Articles of Incorporation bearing the seal of the State in which the corporation or association is domiciled; proof of CDC status by providing a copy of the purposes section of its Articles of Incorporation and a listing of the current Board of Directors' names, titles and addresses; resumes of the project director and other key management team members; written agreements i.e., third party participation, coordination with AFDC/TANF, etc.; Single Point of Contact comments, where applicable; certification regarding anti-lobbying activities; smokefree workplace assurance; a disclosure of lobbying activities, etc.

The application package should not exceed 65 pages for applications submitted under sub-priority areas 1.1, 1.2 and 1.4, and 30 pages for all applications submitted under the other sub-priority areas.

Applications should be two holed punched at the top center and fastened with a compressor slide paper fastener or a binder clip. The submission of bound applications, or applications enclosed in binders, is especially discouraged.

Applications must be uniform in composition since OCS may find it necessary to duplicate them for review purposes. Therefore, applications must be submitted on white 8 1/2 x 11 inch paper only. They must not include colored, oversized or folded materials. Do not include organizational brochures or other promotional materials, slides, films, clips, etc. in the proposal. They will be discarded, if included.

#### 2. Acknowledgement of Receipt

All applicants will receive an acknowledgement notice with an assigned identification number. Applicants are requested to supply a self-addressed mailing label with their application which can be attached to this acknowledgement notice. The identification number and the program priority area letter code must be referred to in all subsequent communications with OCS concerning the application. If an acknowledgement is not received within three weeks after the deadline date, please notify ACF by telephone (202) 401-9365.

#### Part G—Instructions for Completing Application Package

It is suggested that the applicant reproduce the SF-424 and SF-424A, and type its organization's legal name on the copies. If an item on the SF-424 cannot be answered or does not appear to be related or relevant to the assistance requested, write "NA" for "Not Applicable."

Prepare your application in accordance with the standard instructions given in Attachments B and C corresponding to the forms, as well as the OCS specific instructions set forth below:

##### 1. SF-424 "Application for Federal Assistance."

Item 1. For the purposes of this announcement, all proposals are considered "Applications"; there are no "Pre-Applications." For the purpose of this announcement, construction projects involve land improvements and development or major renovation of (new or existing) facilities and buildings, including their improvements, fixtures and permanent attachments. All others are considered non-construction. Check the appropriate box under "Application." Whether applications involve construction or non-construction projects, all applicants are required to complete the "Budget Information—Non-construction Programs" sections of SF 424A.

##### Items 2.—4. Self-Explanatory.

Items 5. and 6. The legal name of the applicant must match that listed as corresponding to the Employer

Identification Number. Where the applicant is a previous Department of Health and Human Services grantee, enter the Central Registry System Employee Identification Number (EIN) and the Payment Identifying Number (PIN), if one has been assigned, in the Block entitled "Federal Identifier" located at the top right hand corner of the form.

Item 7. If the applicant is a non-profit corporation, enter "N" in the box and specify "non-profit corporation" in the space marked "Other." Any non-profit organization submitting an application must submit proof of its non-profit status in its applications at time of submission. The non-profit organization can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

Notwithstanding the above requirements, each applicant must provide proof of CDC status by providing a copy of the purposes section of its Articles of Incorporation and a listing of its current Board of Directors showing each person's name, title, and local address.

Item 8. For the purposes of this announcement, all applications are "New".

Item 9. Enter DHHS-ACF/OCS.

Item 10. The Catalog of Federal Domestic Assistance number for OCS programs covered under this announcement is 93.570. The title is "CSBG Discretionary Awards."

Item 11. The following designations must be used to identify the program priority area:

UR—Sub-Priority Area 1.1. Urban and Rural Community Economic Development (Operational)

HB—Sub-Priority Area 1.2. Urban and Rural Community Economic Development (HBCU Set-Aside)

PD—Sub-Priority Area 1.3. Urban and Rural Community Economic Development (Pre-Developmental Set-Aside)

DD—Sub-Priority Area 1.4. Urban and Rural Community Economic Development (Developmental Set-Aside)

AM—Sub-Priority Area 1.5. Administrative and Management (Set-Aside)

UT—Sub-Priority Area 1.6. Technical Assistance (Set-Aside)

RF—Sub-Priority Area 2.1. Rural Community Facilities Development (Water and Waste Water Treatment Systems Development)

**2. SF-424A—“Budget Information—Non-Construction Programs.”**

See Instructions accompanying this form as well as the instructions set forth below:

In completing these sections, the “Federal Funds” budget entries will relate to the requested OCS discretionary funds only, and “Non-Federal” will include mobilized funds from all other sources—applicant, state, local, and other. Federal funds other than requested OCS discretionary funding should be included in “Non-Federal” entries.

The budget forms in SF-424A are only to be used to present grant administrative costs and major budget categories. Financial data that is generated as part of a project Business Plan or other internal project cost data must be separate and should appear as part of the project Business Plan or other project implementation data.

Sections A and D of SF-424A must contain entries for both Federal (OCS) and non-Federal (mobilized) funds. Section B contains entries for Federal (OCS) funds only. Clearly identified continuation sheets in SF-424A format should be used as necessary.

**Section A—Budget Summary**

Lines 1–4.

Col. (a):

Line 1 Enter “CSBG Discretionary”;

Col. (b):

Line 1 Enter “93.570”;

Col. (c) and (d):

Applicants should leave columns (c) and (d) blank.

Col. (e)-(g):

For line 1, enter in columns (e), (f) and (g) the appropriate amounts needed to support the project for the budget period.

Line 5 Enter the figures from Line 1 for all columns completed as required, (c), (d), (e), (f), and (g).

**Section B—Budget Categories**

Allowability of costs are governed by applicable cost principles set forth in 45 CFR Parts 74 and 92. A budget narrative must be submitted that includes the appropriate justifications as stated.

Columns (1) and (5):

In OCS applications, it is only necessary to complete Columns (1) and (5).

Column 1: Enter the total requirements for OCS Federal funds by the Object Class Categories of this section:

Personnel-Line 6a: Enter the total costs of salaries and wages of applicant/grantee staff only. A breakdown of amounts and percentage of time that comprises the salary must be noted. Do not include costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

Fringe Benefits-Line 6b: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate which is entered on line 6j. Provide a breakdown of amounts and percentages that comprise fringe benefit costs.

Travel-Line 6c: Enter total estimated costs of all travel by employees of the project. The purpose, traveler, number of days, airfare and per diem rates must be stated. Travel costs for the Executive Director or Project Director to attend a two day national workshop in Washington, D.C. should be included. Do not enter costs for consultant's travel. Provide justification for requested travel costs.

Equipment-Line 6d: Enter the total estimated costs of all non-expendable personal property to be acquired by the project. “Non-expendable personal property” means tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Supplies-Line 6e: Enter the total estimated costs of all tangible personal property (supplies) other than that included on line 6d. Identify the item, unit cost and quantity to be purchased.

Contractual-Line 6f: Enter the total estimated costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations including delegate agencies and specific project(s) or businesses to be financed by the applicant. Identify the purpose and costs associated. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individual service contractors on this line. If available at the time of application, attach a list of contractors indicating the name of the organization, the purpose of the contract and the estimated dollar amount of the award.

**Note:** Whenever the applicant/grantee intends to delegate part of the program to another agency, the applicant/grantee must submit Sections A and B of this form (SF-424A), completed for each delegate agency by agency title, along with the required supporting information referenced in the applicable instructions. The total costs of all

such agencies will be part of the amount shown on Line 6f. Provide back-up documentation identifying name of contractor, purpose of contract and major cost elements.

Construction-Line 6g: Enter the estimated costs of renovation, repair, or new construction. Identify the type of construction activity and costs associated, i.e., concrete, HVAC, electrical, etc. Provide narrative justification and breakdown of costs.

Other-Line 6h: Enter the total of all other costs. Such costs, where applicable, may include but are not limited to insurance, food, medical and dental costs (noncontractual), fees and travel paid directly to individual consultants, space and equipment rentals, printing and publication, computer use, training costs, including tuition and stipends, training service costs including wage payments to individuals and supportive service payments, and staff development costs. Note that costs identified as “miscellaneous” and “honoraria” are not allowable.

Total Direct Charges-Line 6i: Show the total of Lines 6a through 6h.

Indirect Charges-Line 6j: Enter the total amount of indirect costs. This line should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or another Federal agency or is awaiting such approval. With the exception of local governments and State agencies, applicants should enclose a copy of the current rate agreement if it was negotiated with a Federal agency other than the Department of Health and Human Services.

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately, upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the pertinent DHHS Guide for Establishing Indirect Cost Rates, and submit it to the appropriate DHHS Regional Office.

It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant.

Totals-Line 6k: Enter the total amounts of Lines 6i and 6j. The total amount shown in Section B, Column (5), Line 6k, should be the same as the amount shown in Section A, Line 5, Column (e).

Program Income-Line 7: Enter the estimated amount of income, if any,

expected to be generated from this project. Separately show expected program income generated from OCS support and income generated from other mobilized funds. Do not add or subtract this amount from the budget total. Show the nature and source of income in the program narrative statement.

Column 5: Carry totals from Column 1 to Column 5 for all line items.

#### Section C—Non-Federal Resources

This section is to record the amounts of "non-Federal" resources that will be used to support the project. "Non-Federal" resources mean other than OCS funds for which the applicant is applying. Therefore, mobilized funds from other Federal programs, such as the Job Training Partnership Act program, should be entered on these lines. Provide a brief listing of the non-Federal resources on a separate sheet and describe whether it is a grantee-incurred cost or a third-party in-kind contribution. The firm commitment of these resources must be documented and submitted with the application in order to be given credit in the Public-Private Partnerships criterion.

Except in unusual situations, this documentation must be in the form of letters of commitment from the organization(s)/individuals from which funds will be received.

Line 8:

Column (a): Enter the project title.

Column (b): Enter the amount of contributions to be made by the applicant to the project.

Column (c): Enter the State contribution. If the applicant is a State agency, enter the non-Federal funds to be contributed by the State other than the applicant.

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

Column (e): Enter the total of columns (b), (c), and (d).

Lines 9, 10, and 11 should be left blank.

Line 12: Carry the total of each column of Line 8, (b) through (e). The amount in Column (e) should be equal to the amount on Section A, Line 5, column (f).

#### Section D—Forecasted Cash Needs

Line 13: Enter the amount of Federal (OCS) cash needed for this grant by quarter. During the budget period for grants which are more than twelve (12) months, submit a separate sheet for each additional twelve (12) months or portion thereof.

Line 14 Enter the amount of cash from all other sources needed by quarter during the budget period.

Line 15: Enter the total of Lines 13 and 14.

#### Section E—Budget Estimates of Federal Funds Needed for Balance of Project(s)

Completion not required

#### Section F—Other Budget Information

Line 21—Use this space and continuation sheets as necessary to fully explain and justify the major items included in the budget categories shown in Section B. Include sufficient detail to facilitate determination of allowability, relevance to the project, and cost benefits. Particular attention must be given to the explanation of any requested direct cost budget item which requires explicit approval by the Federal agency. Budget items which require identification and justification shall include, but not be limited to, the following:

A. Salary amounts and percentage of time worked for those key individuals who are identified in the project narrative;

B. Any foreign travel;

C. A list of all equipment and estimated cost of each item to be purchased wholly or in part with grant funds which meet the definition of nonexpendable personal property provided on Line 6d, Section B. Need for equipment must be supported in program narrative.

D. Contractual: Major items or groups of smaller items; and

E. Other: group into major categories all costs for consultants, local transportation, space, rental, training allowances, staff training, computer equipment, etc. Provide a complete breakdown of all costs that make up this category.

Line 22—Enter the type of HHS or other Federal agency approved indirect cost 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. Also, enter the date the rate was approved, where applicable. Attach a copy of the rate agreement if it was negotiated with a Federal agency other than the Department of Health and Human Services.

Line 23—Provide any other explanations and continuation sheets required or deemed necessary to justify or explain the budget information.

#### 3. SF-424B "Assurances-Non-Construction."

All applicants, whether or not project involves construction, must file the Standard Form 424B, "Assurances: Non-Construction Programs." Applicants must sign and return the Standard Form

424B, found at Attachment D, with their applications.

#### 4. Restrictions on Lobbying

**Activities**—Applicants must provide a certification concerning Lobbying. Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification. Applicants must sign and return the certification, found at Attachment H, with their applications.

5. **Disclosure of Lobbying Activities, SF-LLL**—Fill out, sign and date form found at Attachment H, if applicable.

#### 6. Certification Regarding Environmental Tobacco Smoke.

Applicants must make the appropriate certification of their compliance with the Pro-Children Act of 1994. By signing and submitting the applications, applicants are providing the certification regarding environmental tobacco smoke and need not mail back the certification with their applications.

#### 7. Project Abstract.

The project abstract is a brief summary of the project to include specific benefits such as number of jobs to be created, especially jobs for low-income individuals. The abstract must not exceed 500 characters (including words, spaces and punctuation) on a separate sheet of plain paper headed by the applicant's name as shown in item 5 of the SF 424 and the priority area number as shown by you at the bottom of the SF 424.

#### 8. Project Narrative.

The application package including the narrative should not exceed 65 pages for the applications submitted under sub-priority areas 1.1, 1.2 and 1.4 and 30 pages under the other sub-priority areas.

The project narrative must address the specific concerns mentioned under the relevant priority area description in Part C. The narrative should provide information on how the application meets the evaluation criteria in Part D, of this Program Announcement and should follow the format below:

a. **Eligibility Confirmation.** This section must explain how the applicant has complied with each of the basic requirements listed in Part E, sections 5b(1)-(4), i.e., (1) that the applicant meets the eligibility requirements for the sub-priority area under which funds are being requested; (2) an application submitted under sub-priority areas 1.1, 1.2, 1.4, or 2.1, contains only one project; (3) the amount of funds requested does not exceed the limits indicated in Part B, Section 2b for the appropriate sub-priority area; (4) (Sub-Priority Areas 1.1, 1.2, and 1.4) if an applicant proposes to use OCS funds for an equity investment, a loan, or a sub-grant, the application contains a written



agreement signed by the applicant and the third party which includes all of the elements required in Part C. An application may be disqualified from the competition and returned if it does not conform to one or more of the above requirements.

b. *Analysis of Need.* The application should include a description of the target area and population to be served as well as a discussion of the nature and extent of the problem to be solved. It should also include documentation supportive of its needs assessment such as employment statistics, housing statistics, etc.

c. *Organizational Experience and Staff Responsibilities.* (i) *Organizational Experience.* Each applicant must document competence in the specific program priority area under which an application is submitted.

Documentation must be provided which addresses the relevance and effectiveness of projects previously undertaken in the specific priority area for which funds are being requested and especially their cost effectiveness, the relevance and effectiveness of any services provided, and the permanent benefits provided to the low-income population. Organizations which propose providing training and technical assistance must detail their competence in the specific program priority area and as a deliverer with expertise in the fields of training and technical assistance. If applicable, information provided by these applicants must also address related achievements and competence of each cooperating or sponsoring organization.

*Applicable to Sub-Priority Areas 1.1, 1.2, 1.4 and 1.5*

Applicants in these priority areas must also document a firmly established and quantifiable performance record that shows the following:

- The ability to implement major activities such as business development, commercial development, physical development, or financial services;
- Successful working relationships within the community including public officials, financial institutions, corporations, other community organizations and residents;
- A sound asset base and organizational structure in terms of (a) net worth, (b) management stability, and (c) organizational capability;
- An ability to develop and maintain a stable program in terms of business, physical or community development activities that will provide needed permanent jobs, services, business development opportunities and other

benefits to community residents, and impact on community-wide economic problems and needs;

- Sound administrative and fiscal systems and controls, and the ability to establish and maintain partnerships with the private sector in such forms as financial support, volunteerism or executives on loan.

(ii) *Staff Skills, Resources and Responsibilities.* The application must fully describe (e.g. a resume or position description) the experience and skills of the proposed project director showing that the individual is not only well qualified but that his/her professional capabilities are relevant to the successful implementation of the project.

The application must include statements regarding who will have the responsibilities of the chief executive officer, who will be responsible for grant coordination with OCS, and how the assigned responsibilities of the staff are appropriate to the tasks identified for the project. It must show clearly that sufficient time of senior staff will be budgeted to assure timely implementation and cost effective management of the project.

d. *Project Implementation.* The application must contain a detailed and specific workplan or business plan that is both sound and feasible. Generally, a business plan is required for applications submitted under sub-priority areas 1.1, 1.2 and 1.4. For all business ventures (except for business development opportunities for self-employed program participants) a complete business plan will be required using guidelines discussed in the next several paragraphs. For the remaining sub-priority areas, a workplan is acceptable in lieu of a business plan.

**Please note** that OCS does not require the application to contain business plans for each self-employed program participant. However, a project that proposes to provide self-employed and other business opportunities for program participants must include a development plan that shows how participants will become self-sufficient and how their technical assistance needs will be met.

#### *Guidelines of a Business Plan*

The business plan is one of the major components that will be evaluated by the OCS to determine the feasibility of a business venture or an economic development project. It must be well prepared and address all the relevant elements as follows:

- (a) *Executive Summary* (limit summary to 3 pages).
- (b) *The business and its industry.* This section should describe the nature and

history of the business and provide some background on its industry.

(i) *The Business:* as a legal entity; the general business category;

(ii) *Description and Discussion of Industry:* current status and prospects for the industry;

(c) *Products and Services:* This section deals with the following:

(i) *Description:* Describe in detail the products or services to be sold;

(ii) *Proprietary Position:* Describe proprietary features if any of the product, e.g. patents, trade secrets;

(iii) *Potential:* Features of the product or service that may give it an advantage over the competition;

(d) *Market Research and Evaluation:* This section should present sufficient information to show that the product or service has a substantial market and can achieve sales in the face of competition;

(i) *Customers:* Describe the actual and potential purchasers for the product or service by market segment.

(ii) *Market Size and Trends:* State the size of the current total market for the product or service offered;

(iii) *Competition:* An assessment of the strengths and weaknesses of competitive products and services;

(iv) *Estimated Market Share and Sales:* Describe the characteristics of the product or service that will make it competitive in the current market;

(e) *Marketing Plan:* The marketing plan should detail the product, pricing, distribution, and promotion strategies that will be used to achieve the estimated market share and sales projections. The marketing plan must describe what is to be done, how it will be done and who will do it. The plan should address the following topics—Overall Marketing Strategy, Packaging, Service and Warranty, Pricing, Distribution and Promotion.

(f) *Design and Development Plans:* If the product, process or service of the proposed venture requires any design and development before it is ready to be placed on the market, the nature and extent and cost of this work should be fully discussed. The section should cover items such as Development Status and Tasks, Difficulties and Risks, Product Improvement and New Products, and Costs.

(g) *Manufacturing and Operations Plan:* A manufacturing and operations plan should describe the kind of facilities, plant location, space, capital equipment and labor force (part and/or full time and wage structure) that are required to provide the company's product or service.

(h) *Management Team:* The management team is the key in starting and operating a successful business. The

management team should be committed with a proper balance of technical, managerial and business skills, and experience in doing what is proposed. This section must include a description of: the key management personnel and their primary duties; compensation and/or ownership; the organizational structure; Board of Directors; management assistance and training needs; and supporting professional services.

(i) *Overall Schedule:* A schedule that shows the timing and interrelationships of the major events necessary to launch the venture and realize its objectives. Prepare, as part of this section, a month-by-month schedule that shows the timing of such activities as product development, market planning, sales programs, and production and operations. Sufficient detail should be included to show the timing of the primary tasks required to accomplish each activity.

(j) *Critical Risks and Assumptions:* The development of a business has risks and problems and the Business Plan should contain some explicit assumptions about them. Accordingly, identify and discuss the critical assumptions in the Business Plan and the major problems that will have to be solved to develop the venture. This should include a description of the risks and critical assumptions relating to the industry, the venture, its personnel, the product's market appeal, and the timing and financing of the venture.

Also, if a "construction project" is involved, the Business Plan should identify and address briefly the project's timeframes and critical assumptions for conduct of predevelopmental, architectural/ engineering and environmental studies, etc., and acquisition of permits for building, use and occupancy that are required for the project.

(k) *Community Benefits:* The proposed project must contribute to economic, human and community development within the project's target area. A section that describes and discusses the potential economic and non-economic benefits to low-income members of the community must be included as well as a description of the strategy that will be used to identify and hire individuals being served by public assistance programs and how linkages with community agencies/ organizations administering the AFDC/TANF program will be developed. The following project benefits must be described:

#### *Economic Development and Job Creation*

- Number of permanent jobs (with particular emphasis on jobs for low-income people) that will be created during the project period. Also, for low-income people, provide the following information:
- Number of jobs that will have career development opportunities and a description of those jobs;
- Number of jobs that will be filled by individuals lifted from AFDC/TANF assistance;
- Number of Self-employed and other ownership opportunities created for low income residents;
- Annual salary expected for each person employed (net profit after deductions of business expenses for self-employed persons);
- Specific steps to be taken including on-going management support and technical assistance provided by the grantee or a third party to develop and sustain self-employed program participants after their businesses are in place.

**Note:** OCS will not recognize job equivalents nor job counts based on economic multiplier functions; jobs must be specifically identified.

Other benefits which might be discussed are:

#### *Human Development*

- New technical skills development and associated career opportunities for community residents;
- Management development and training;
- Benefits of self-sufficiency for persons lifted from AFDC/TANF assistance.

#### *Community Development*

- Development of community's physical assets;
- Provision of needed, but currently unsupplied, services or products to community;
- Improvement in the living environment.

(1) *The Financial Plan:* The Financial Plan is basic to the development of a Business Plan. Its purpose is to indicate the project's potential and the timetable for financial self-sufficiency. In developing the Financial Plan, the following exhibits must be prepared for the first three years of the business' operation:

- (i) Profit and Loss Forecasts—quarterly for each year;
  - (ii) Cash Flow Projections—quarterly for each year
  - (iii) Pro forma balance sheets—quarterly for each year;
- Also, additional financial information for the business operation that must be

included are an initial Source and Use of Funds Statement for project funds and a brief summary paragraph discussing any further capital requirements and their sources.

If an applicant is proposing a project which will affect a property listed in, or eligible for inclusion in the National Register of Historic Places, it must identify this property in the narrative and explain how it has complied with the provisions of Section 106 of the National Historic Preservation Act of 1966 as amended. If there is any question as to whether the property is listed in or eligible for inclusion in the National Register of Historic Places, the applicant should consult with the State Historic Preservation Officer. (See Attachment D: SF-424B, Item 13 for additional guidance.) The applicant should contact OCS early in the development of its application for instructions regarding compliance with the Act and data required to be submitted to the Department of Health and Human Services. Failure to comply with the cited Act may result in the application being ineligible for funding consideration.

#### *Applicable to Sub-Priority Areas 1.1, 1.2, and 1.4*

Applications submitted under Sub-Priority Areas 1.1, 1.2 and 1.4 which propose to use the requested OCS funds to make an equity investment or a loan to a business concern, including a wholly-owned subsidiary, or to make a sub-grant with a portion of the OCS funds, must include a written agreement between the community development corporation and the recipient of the grant funds which contains all of the elements listed in Part C under the appropriate Priority Area.

#### *Applicable to Sub-Priority Area 1.5 Only*

An applicant in this priority area must document its experience and capability in several of the following areas:

Business/Development;  
Micro-Entrepreneurship Development;  
Commercial Development;  
Organizational and Staff Development;  
Board Training;  
Business Management, including Strategic planning and Fiscal Management;  
Finance, including Business Packaging and Financial/Accounting Services, and/or  
Regulatory Compliance including Zoning and Permit Compliance  
Incubator Development  
Tax Credits and Bond Financing  
Marketing

The applicant must document staff competence or the accessibility of third party resources with proven competence. If the work program requires the significant use of third party (consultant/contractor) resources, those resources should be identified and resumes of the individuals or key organizational staff provided.

Resumes of the applicant's staff, who are to be directly involved in programmatic and administrative expertise sharing, should also be included. The applicant must document successful experience in the mobilization of resources (both cash and in-kind) from private and public sources. The applicant must also clearly state how the information learned from this project may be disseminated to other interested grantees.

#### *Applicable to Sub-Priority Area 1.6 only*

An applicant in this priority area must document its experience and capability in implementing projects national in scope and have significant and relative experiences in working with Community Development Corporations.

The applicant must have the ability to collect and analyze data nationally that may benefit CDCs and be able to disseminate information to all of OCS funded grantees; publish a national directory of funding sources for CDCs (public, corporate, foundation, religious); publish research papers on specific aspects of job creation by CDCs; design and provide information on successful projects and economic niches that CDCs can target. The applicant will also be responsible for the development of instructional programs, national conferences, seminars, and other activities to assist community development corporations; and provide peer-to-peer technical assistance to OCS funded CDCs.

#### *Applicable to Sub-Priority Area 2.1*

Each applicant must include a full discussion of how the proposed use of funds will enable low-income rural communities to develop the capability and expertise to establish and maintain affordable, adequate and safe water and waste water systems. Applicants must also discuss how they will disseminate information about water and waste water programs serving rural communities, and how they will better coordinate Federal, State, and local water and waste water program financing and development to assure improved service to rural communities.

Among the benefits that merit discussion under this sub-priority area are: The number of rural communities to

be provided with technical and advisory services; the number of rural poor individuals who are expected to be directly served by applicant-supported improved water and waste water systems; the decrease in the number of inadequate water systems related to applicant activity; the number of newly-established and applicant-supported treatment systems (all of the above may be expressed in terms of equivalent connection units); the increase in local capacity in engineering and other areas of expertise; and the amount of non-discretionary program dollars expected to be mobilized.

#### *e. Significant and Beneficial Impact and Other Criteria.*

The project narrative must address the remaining aspects of the project noted in the outline of Part F, "Contents of Application and Receipt Process", Items V and VI. These include a discussion of the "Significant and Beneficial Impact, Public-Private Partnerships and Budget Appropriateness and Reasonableness" areas as well as information to be included in the Appendices.

#### **Part H—Post Award Information and Reporting Requirements**

Following approval of the applications selected for funding, notice of project approval and authority to draw down project funds will be made in writing. The official award document is the Financial Assistance Award which provides the amount of Federal funds approved for use in the project, the budget period for which support is provided, the terms and conditions of the award, the total project period for which support is contemplated, and the total financial participation from the award recipient.

General Conditions and Special Conditions (where the latter are warranted) which will be applicable to grants, are subject to the provisions of 45 CFR Parts 74 and 92.

Grantees will be required to submit semi-annual progress and financial reports (SF-269) as well as a final progress and financial report.

Grantees are subject to the audit requirements in 45 CFR Parts 74 and 92 and OMB Circular A-128 or A-133. If an applicant will not be requesting indirect costs, it should anticipate in its budget request the cost of having an audit performed at the end of the grant period.

Section 319 of Public Law 101-121, signed into law on October 23, 1989, imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. It provides

limited exemptions for Indian tribes and tribal organizations. Current and prospective recipients (and their sub-tier contractors and/or grantees) are prohibited from using appropriated funds for lobbying Congress or any Federal agency in connection with the award of a contract, grant, cooperative agreement or loan. In addition, for each award action in excess of \$100,000 (or \$150,000 for loans) the law requires recipients and their sub-tier contractors and/or subgrantees (1) To certify that they have neither used nor will use any appropriated funds for payment to lobbyists, (2) to submit a declaration setting forth whether payments to lobbyists have been or will be made out of nonappropriated funds and, if so, the name, address, payment details, and purpose of any agreements with such lobbyists whom recipients or their sub-tier contractors or subgrantees will pay with the nonappropriated funds and (3) to file quarterly up-dates about the use of lobbyists if an event occurs that materially affects the accuracy of the information submitted by way of declaration and certification. The law establishes civil penalties for noncompliance and is effective with respect to contracts, grants, cooperative agreements and loans entered into or made on or after December 23, 1989. See Attachment H for certification and disclosure forms to be submitted with the applications for this program.

Attachment I indicates the regulations which apply to all applicants/grantees under the Discretionary Grants Program.

Dated: March 18, 1997.

**Donald Sykes,**

*Director, Office of Community Services.*

#### **Attachment A**

Size of family unit	Poverty guideline
<b>1996 Poverty Guidelines for the 48 Contiguous States and the District of Columbia</b>	
1 .....	\$7,740
2 .....	10,360
3 .....	12,980
4 .....	15,600
5 .....	18,220
6 .....	20,840
7 .....	23,460
8 .....	26,080

For family units with more than 8 members, add \$2,226 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

<b>1996 Poverty Guidelines for Alaska</b>	
1 .....	9,660
2 .....	12,940

Size of family unit	Poverty guideline
3 .....	16,220
4 .....	19,500
5 .....	22,780
6 .....	26,060
7 .....	29,340
8 .....	32,620

For family units with more than 8 members, add \$3,280 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

#### 1996 Poverty Guidelines for Hawaii

1 .....	8,901
2 .....	11,920
3 .....	14,930
4 .....	17,940
5 .....	20,950
6 .....	23,960
7 .....	26,970
8 .....	29,980

For family units with more than 8 members, add \$3,010 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

BILLING CODE 4184-01-P

Attachments B, C, D

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Preapplication <input type="checkbox"/> Non-Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-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	

  

<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> <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div>	
<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;">           A. State            B. County            C. Municipal            D. Township            E. Interstate            F. Intermunicipal            G. Special District         </div> <div style="width: 48%;">           H. Independent School Dist.            I. State Controlled Institution of Higher Learning            J. Private University            K. Indian Tribe            L. Individual            M. Profit Organization            N. Other (Specify) _____         </div> </div>	
<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> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> <div style="border: 1px solid black; height: 40px; margin: 5px 0;"></div>	

  

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

  

<b>15. ESTIMATED FUNDING:</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">a. Federal</td> <td style="width: 10%;">\$</td> <td style="width: 10%;"></td> <td style="width: 10%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</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: <div style="margin-top: 10px;">DATE _____</div> 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

Previous Editions Not Usable

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

**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 and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
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.

Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

—“New” means a new assistance award.  
—“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.  
—“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.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

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 *only* 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.

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.

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.

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.)

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

**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		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

**SECTION B — BUDGET CATEGORIES**

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
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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Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102



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					
(a) Grant Program	Total for 1st Year	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)				(e) Fourth
	(b) First	(c) Second	(d) Third		
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 3 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 total 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).

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.

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 amount 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 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.

BILLING CODE 4184-01-P

**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).
3. 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.

# **Attachment F—Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

## *Instructions for Certification*

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

\* \* \* \* \*

## **Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

# **Attachment G—OMB State Single Point of Contact Listing**

## **Arizona**

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315, FAX: (602) 280-8144

## **Arkansas**

Mr. Tracy L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 1515 W. 7th St., Room 412, Little Rock, Arkansas 72203, Telephone: (501) 682-1074, FAX: (501) 682-5206

## **California**

Grants Coordinator, Office of Planning and Research, 1400 Tenth Street, Room 121, Sacramento, California 95814, Telephone (916) 323-7480, FAX: (916) 323-3018

## **Delaware**

Francine Booth, State Single Point of Contact Executive Department, Thomas Collins Building, P.O. Box 1401, Dover, Delaware 19903, Telephone: (302) 739-3326, FAX: (302) 739-5661

## **District of Columbia**

Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. and Dev., 717 14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone: (202) 727-6554, FAX: (202) 727-1617

## **Florida**

Florida State Clearinghouse, Department of Community Affairs, 2740 Centerview Drive, Tallahassee, Florida 32399-2100, Telephone: (904) 922-5438, FAX: (904) 487-2899

## **Georgia**

Tom L. Reid, III, Administrator, Georgia State Clearinghouse, 254 Washington Street, S.W.—Room 401J, Atlanta, Georgia 30334, Telephone: (404) 656-3855 or (404) 656-3829, FAX: (404) 656-7938

## **Illinois**

Virginia Bova, State Single Point of Contact, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, FAX: (312) 814-1800

## **Indiana**

Amy Brewer, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone: (317) 232-5619, FAX: (317) 233-3323

## **Iowa**

Steven R. McCann, Division for Community Assistance, Iowa Department of Economic Development, 200 East Grant Avenue, Des Moines, Iowa 50309, Telephone: (515) 242-4719, FAX: (515) 242-4859

## **Kentucky**

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601-8204, Telephone: (502) 573-2382, FAX: (502) 573-2512

## Maine

Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone: (207) 287-3261, FAX: (207) 287-6489

## Maryland

William G. Carroll, Manager, State Clearinghouse for Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104, Baltimore, Maryland 21201-2365, Staff Contact: Linda Janey, Telephone: (410) 225-4490, FAX: (410) 225-4480

## Michigan

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4266, FAX: (313) 961-4869

## Mississippi

Cathy Malette, Clearinghouse Officer, Department of Finance and Administration, 455 North Lamar Street, Jackson, Mississippi 39202-3087, Telephone: (601) 359-6762, FAX: (601) 359-6764

## Missouri

Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Room 760, Truman Building, Jefferson City, Missouri 65102, Telephone: (314) 751-4834, FAX: (314) 751-7819

## Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone: (702) 687-4065, FAX: (702) 687-3983

## New Hampshire

Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review Process, Mike Blake, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone: (603) 271-2155, FAX: (603) 271-1728

## New Mexico

Robert Peters, State Budget Division, Room 190 Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone: (505) 827-3640

## New York

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone: (518) 474-1605

## North Carolina

Chrys Baggett, Director, N.C. State Clearinghouse, Office of the Secretary of Admin., 116 West Jones Street, Raleigh, North Carolina 27603-8003, Telephone: (919) 733-7232, FAX: (919) 733-9571

## North Dakota

North Dakota Single Point of Contact, Office of Intergovernmental Assistance, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0170, Telephone: (701) 224-2094, FAX: (701) 224-2308

## Ohio

Larry Weaver, State Single Point of Contact, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411

Please direct correspondence and questions about intergovernmental review to: Linda Wise, Telephone: (614) 466-0698, FAX: (614) 466-5400

## Rhode Island

Daniel W. Varin, Associate Director, Department of Administration/Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083

Please direct correspondence and questions to:

Review Coordinator, Office of Strategic Planning

## South Carolina

Omeagia Burgess, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street—Room 477, Columbia, South Carolina 29201, Telephone: (803) 734-0494, FAX: (803) 734-0385

## Texas

Tom Adams, Governors Office, Director, Intergovernmental Coordination, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 463-1771, FAX: (512) 463-1888

## Utah

Carolyn Wright, Utah State Clearinghouse, Office of Planning and Budget, Room 116, State Capitol, Salt Lake City, Utah 84114, Telephone: (801) 538-1535, FAX: (801) 538-1547

## West Virginia

Fred Cutlip, Director, Community Development Division, W. Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone: (304) 558-4010, FAX: (304) 558-3248

## Wisconsin

Martha Kerner, Section Chief, State/Federal Relations, Wisconsin Department of Administration, 101 East Wilson Street—6th Floor, P.O. Box 7868, Madison, Wisconsin 53707, Telephone: (608) 266-2125, FAX: (608) 267-6931

## Wyoming

Sheryl Jeffries, State Single Point of Contact, Office of the Governor, State Capital, Room 124, Cheyenne, Wyoming 82002, Telephone: (307) 777-5930, FAX: (307) 632-3909

## Territories

## Guam

Mr. Giovanni T. Sgambelluri, Director, Bureau of Budget and management Research, Office of the Governor, P.O. Box 2950, Agaña, Guam 96910, Telephone: 011-671-472-2285, FAX: 011-671-472-2825

## Puerto Rico

Norma Burgos/Jose E. Caro, Chairwoman/Director, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (809) 727-4444 or (809) 723-6190, FAX: (809) 724-3270 or (809) 724-3103

## North Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP, Telephone: (670) 664-2256, FAX: (670) 664-2272

Contact Person: Ms. Jacoba T. Seman, Federal Programs Coordinator, Telephone: (670) 644-2289, FAX: (670) 664-2272

## Virgin Islands

Jose George, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802

Please direct all questions and

correspondence about intergovernmental review to:

Linda Clarke, Telephone: (809) 774-0750, FAX: (809) 776-0069

**Attachment H—Certification Regarding Lobbying***Certification for Contracts, Grants, Loans, and Cooperative Agreements*

The undersigned certifies, to the best of his or her knowledge and belief, that:

(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 any 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 impose 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.

*State for Loan Guarantee and Loan Insurance*

The undersigned states, to the best of his or her knowledge and belief, that:

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.

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Signature

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Title

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Organization

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Date

BILLING CODE 4184-01-P

Approved by OMB  
0348-0046

**Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)**

BILLING CODE 4184-01-C



**Attachment I—Department of Health and Human Services (DHHS) Regulations Applying to All Applicants/Grantees**

*Title 45 of the Code of Federal Regulations*

Part 16—Administration of Grants (non-governmental)

Part 74—Administration of Grants (state and local governments and Indian Tribal affiliates):

**Sections**

74.26—Non-Federal Audits

74.27—Allowable cost for hospitals and non-profit organizations among other things

74.32—Real Property

74.34—Equipment

74.35—Supplies

74.24—Program Income

Part 75—Informal Grant Appeal Procedures

Part 76—Debarment and Suspension from Eligibility for Financial Assistance

**Subpart F—Drug Free Workplace Requirements**

Part 80—Non-discrimination Under Programs Receiving Federal Assistance through DHHS Effectuation of Title VI of the Civil Rights Act of 1964

Part 81—Practice and Procedures for Hearings Under Part 80 of this Title

Part 83—Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act

Part 84—Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance

Part 85—Enforcement of Non-discrimination on the Basis of Handicap in Programs or Activities Conducted by DHHS

Part 86—Non-discrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefitting from Federal Financial Assistance

Part 91—Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance

Part 92—Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (**Federal Register**, March 11, 1988)

Part 93—New Restrictions on Lobbying

Part 100—Intergovernmental Review of DHHS Programs and Activities

**Attachment J—Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known

as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act. The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provision for the children's services and that all subgrantees shall certify accordingly.

**Attachment K—Checklist for Use in Submitting OCS Grant Applications (Optional)**

The application should contain:

1. A completed, signed SF-424, "Application for Federal assistance". The letter code for the priority area e.g., UR should be in the lower right hand corner
2. A completed "Budget Information—Non-Construction" (SF-424A)
3. A signed "Assurances: Non-Construction" (SF-424A)
4. A Project Abstract
5. A Project Narrative beginning with a Table of contents that describes the project in the following order:
  - (a) Eligibility Confirmation
  - (b) Analysis of Need (except for Sub-Priority 1.5 and 1.6)
  - (c) Organizational Experience in Program Area and Staff Responsibilities
    - (1) Organizational experience in program area
    - (2) Staff Skills, Resources and Responsibilities
    - (3) CPA certification of management system (applies to Subpriority Area 1.3 only)
    - (d) Project Implementation (Business Plan)

- (1) Includes work plan or business plan. See instructions in Part G, "Instructions for Completing Application Package"
- (2) Self-evaluation component (applies to Subpriority Area 1.3 only)
- (e) Significant and Beneficial Impacts
  - (1) Significant and Beneficial Impacts
  - (2) Cost Per Job (except Subpriority Areas 1.3, 1.5 and 1.6)
- (3) Career Development Opportunities (except Subpriority Areas 1.3, 1.5 and 1.6)
- (4) Strategy for mobilization of resources and development of business plan (applies to Subpriority Area 1.3 only)
- (f) Public/Private Partnerships and Agreements
- (g) Budget Appropriateness and Reasonableness
- (h) Appendices including: copy of applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax-exemption certificate, or by providing a copy of the Articles of incorporation bearing the seal of the State in which the corporation or association is domiciled; proof of CDC status by providing the purposes section of the Articles of Incorporation and a list of the current Board of Directors' names, titles and addresses; copies of resumes of the project director and other key management team members; written agreements i.e., third party agreements, coordination with AFDC/TANF, etc.; Single Point of Contact comments (where applicable); etc.
6. A signed copy of "Certification Regarding Lobbying Activities"
7. A completed "Disclosure of Lobbying Activities", if appropriate; and
8. A self-addressed mailing label which can be affixed to a notice to acknowledge receipt of application.

The application should not exceed a total of 65 pages for applications submitted under sub-priority areas 1.1, 1.2, and 1.4 and 30 pages for all applications submitted under the other sub-priority areas. It should include one original and four identical copies, printed on white 8½ by 11 inch paper only. Applications should be two holed punched at the top center and fastened with a compressor slide paper fastener or a binder clip. All pages should be numbered.

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BILLING CODE 4184-01-P