

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS-95-05]

#### Request for Applications Under the Office of Community Services' FY 1995 Demonstration Partnership Program (DPP)

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

**ACTION:** Announcement of availability of funds and request for applications under the Office of Community Services' Demonstration Partnership Program (DPP).

**SUMMARY:** The Office of Community Services (OCS) announces that, based on availability of funds, applications will be accepted for grants pursuant to the Secretary's authority under section 408(a) (Pub. L. 99-425), of the Human Services Reauthorization Act of 1986 as amended.

**CLOSING DATE:** The closing date for submission of applications is June 12, 1995.

**FOR FURTHER INFORMATION CONTACT:**

Office of Community Services, Administration for Children and Families, Division of Community Demonstration Programs, 370 L'Enfant Promenade, SW., Fifth Floor, Washington, DC 20447, Attention: Richard Saul, (202) 401-9347.

This Announcement is accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. For assistance in accessing the Bulletin Board, a *Guide to Accessing and Downloading* is available from Ms. Minnie Landry at (202) 401-5309.

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Part I. Introduction

A. Legislative Authority

Section 408 of the Human Services Reauthorization Act of 1986, as amended (Pub. L. 99-425), entitled Demonstration Partnership Agreements Addressing the Needs of the Poor, authorizes the Secretary to make grants to eligible entities in order to stimulate the development of new approaches to provide for greater self-sufficiency of the poor, to test and evaluate such new approaches, to disseminate project results and evaluation findings, and for the development and implementation of new and innovative approaches to deal with particularly critical needs or problems of the poor which are common to a number of communities. Additionally, the legislation provides for grants to demonstrate new approaches to dealing with the problems caused by entrenched, chronic unemployment and lack of economic opportunities for urban youth.

Proposed projects must be carried out in partnership with other organizations or institutions, public or private, which can be local, regional or national in character, and should, through these partnerships, strengthen the community's socio-economic infrastructure and the integration, coordination, and redirection of community resources to support

progress toward self-sufficiency. Projects must include plans and funding for a third party evaluation which can lead to replication of successful programs.

This solicitation is requesting applications with proposal narratives of not more than twenty (20) pages (accompanied by the usual forms and appropriate appendices) on the basis of which funding decisions will be made.

B. Eligibility

Eligible entities for these grants are all current recipients of Community Services Block Grant funds which are officially designated as Community Action Agencies or Community Action Programs under Section 673(1) of the Community Services Block Grant (CSBG) Act, and which meet all the requirements under Section 675(c)(3) of that Act; and organizations serving migrant and seasonal farmworkers which received CSBG funding in Fiscal Year 1994.

In order to establish eligibility, the application must contain a letter signed by the State Director of the Community Services Block Grant program certifying that the applicant is an "eligible entity" as defined in Section C below and that it has the capacity to operate the proposed project.

C. Definition of Terms

For purposes of this Announcement, the following definitions apply:

—*Budget Period:* The term "budget period" refers to the interval of time into which a multi-year period of assistance (project period) is usually divided for budgetary and funding purposes. (In the case of grants under this Announcement, project and budget periods may run concurrently for up to three years)

—*Case Management:* For purposes of this Announcement, case management includes but is not limited to: assessment of the client's needs, development of a holistic, comprehensive service plan, and delivery of the most efficient and effective mix of services and support in the implementation of that plan.

—*Eligible entity:* Any organization which is officially designated as a community action agency or a community action program under Section 673(1) of the Community Services Block Grant (CSBG) Act, and meets all the requirements under Section 675(c)(3) of the CSBG Act. All "eligible entities" are current recipients of Community Services Block Grant funds, including organizations serving migrant and seasonal farmworkers which received

CSBG funding in the previous fiscal year (FY 1994). In those cases where "eligible entity" status is unclear, final determination will be made by OCS/ACF.

- Family*: For purposes of this Notice, family includes the definition of nuclear family, as well as the inclusion of household members and/or the extended family.
- Hypothesis*: An assumption made in order to test its validity. It should assert a relationship between an intervention and an outcome on a target population. For example, there will be a significant increase in the proportion of (target population) making progress toward self-sufficiency (outcome) who receive and/or participate in (intervention) as compared to those who do not. The outcome must be measurable.
- Innovative project*: One that departs from or significantly modifies past program practices and tests a new approach(es).
- Intervention*: Any planned activity within a project that is intended to produce changes in the target population or the environment, and can be formally evaluated.
- Outcome evaluation*: An assessment of measured results designed to provide a valid determination of the net effects attributable to the intervention. An outcome evaluation will produce and interpret findings related to whether the intervention produced desirable changes and its potential for replicability. It should answer the question, "Did this program work?"
- Partnership*: A formal negotiated arrangement between an eligible entity and another organization (or organizations) that provides for substantive collaborative policy and service provision roles for each of the partners in the planning and conduct of the project, the results of which should be better integration of resources and services delivery at the community level.
- Process evaluation*: Descriptive information that is gathered on the development and implementation of a program/intervention that may serve as a document for replicating the program elsewhere. The evaluation should also identify problems that occurred and how they were dealt with and recommend improved means of future implementation. It should answer the question: "How was the program carried out?" In concert with the outcome evaluation, it should also help explain, "Why did this program work/not work?"

- Project period*: The term "project period" refers to the total time for which a project is approved for support, including any extensions.
- Self-sufficiency*: A condition where an individual or family, by reason of employment, does not need and is not eligible for, public assistance.

## Part II. Background Information

### A. Project Periods and Budget Periods (See Part I, C, Definitions)

Project and budget periods for all DPP projects will be for a minimum of 30 months and a maximum of 36 months. These will consist of:

1. A *six-month start-up period* during which project staff can be hired, agreements with Project Partners will be finalized, the Third Party Evaluator will be brought on board, and the final Project Evaluation Plan will be completed with the assistance of the approved evaluator and the OCS Evaluation Technical Assistance Contractor. This start-up period should be used to refine the project implementation plan and budget to reflect any changes in the evaluation strategy; and during this period the Project Director and the Evaluator will participate in a workshop conference with staff of OCS and the TA contractor;
2. A *twenty-four month (2 year) operational period* during which the project implementation plan will be carried out; and
3. A *close-out period of up to six months* for completion of the final evaluation and report, and any planned dissemination of project results. To insure funding stability throughout the project period, proposed projects must have sufficient non-OCS funds committed so that, combined with FY 95 OCS grant funds, grantees will have sufficient resources to complete their proposed projects and final evaluations. [Note: Where grantees can show that a significant improvement in the extent or validity of evaluation findings will be the result, projects may receive refunding after the two-year operational period, on a competitive basis and subject to the availability of funds, in an amount not to exceed 80 per cent of the original grant for continuation of the project for an additional period of up to thirty (30) months (a start-up period not being required).]

### B. Availability of Funds and Grant Amounts

The total appropriated amount for the FY 1995 Demonstration Partnership Program is \$7,977,000, of which approximately \$7,000,000 will be available for grants pursuant to this

Announcement to support new general project grant awards, replication projects, EZ/EC Continuous Improvement grants, and projects directed at the problems of urban youth.

1. For priority areas 1.0 General Projects and 2.0 Replication Projects grant requests will be considered for an amount up to \$350,000 in OCS funds for the total budget/project period of up to thirty-six months, except that, of the four suggested Replication Projects under Priority Area 2.0, one will be considered an Urban Youth Project with a maximum grant amount of \$500,000, as explained in Part III, below.

2. For priority area 3.0 EZ/EC Continuous Improvement Projects grant requests will be considered for an amount not to exceed \$50,000. The project/budget periods for these grants may be up to thirty-six months.

3. For priority area 4.0 Urban Youth Projects grant requests will be considered for an amount up to \$500,000 for the total project/budget period of up to 36 months.

### C. Matching Funds

An applicant is required to obtain commitment of at least one private or public sector dollar or equivalent in-kind contribution for each dollar of OCS funds awarded for all priority categories except 4.0 Urban Youth. Thus, if an applicant is requesting \$250,000 in OCS funds, at least \$250,000 worth of additional resources must be committed to the project from private or public sector sources. For Urban Youth Projects, Priority Area 4.0, OCS will fund 80% of the total cost of each project, that is, 80% of the total of the federal and non-federal shares. This means that the match must be 25% of the OCS grant. Thus, if an applicant is requesting \$500,000 in OCS funds, which represents 80% of the total project cost, that total cost will amount to \$625,000, and the match 20% of that total, or \$125,000, which is 25% of the \$500,000 OCS grant amount.

Public sector resources that can be counted toward the minimum match include funds from State and local governments, and funds from various block grants allocated to the States by the Federal Government providing the authorizing legislation for these grants permits such use. (Note, for example, that Community Development Block Grant (CDBG) funds may be counted as matching funds; CSBG funds may not.)

Funds identified by the applicant as those to be counted toward the minimum match requirement may be in the form of grantee-incurred costs, cash, or third-party in-kind contributions fairly valued. OCS is recommending

that at least 50% of the match be provided by the proposed partners through the delivery of specific services or resources to the client population. Such resources must be definitely committed or contingent only upon receipt of an OCS grant, and must be applied to specific project activities within the OCS-approved project and used only for project purposes for the duration of the OCS grant. The firm commitment of the specific amounts of matching funds and/or the dollar value of third-party in-kind contributions must be documented in the project application. Documentation of matching funds must be in the form of letters of commitment or intent to commit from the donor, contingent only upon receipt of OCS grant funds.

If any part of match is to be used as a revolving loan fund, those funds must be cash, specifically set-aside for eligible low-income recipients of the project.

Funds expended prior to the approved OCS starting date for a grant cannot be considered as matching funds.

#### *D. Prohibition on the Use of Funds*

The use of funds for the purchase or construction of real property is prohibited.

#### *E. Program Beneficiaries*

Projects proposed for funding under this announcement must result in direct benefits to low-income persons whose incomes are no more than 125% of the DHHS poverty income guidelines as defined in the most recent Annual Revision of Poverty Income Guidelines published by DHHS.

Attachment C to this Notice is an excerpt from the guidelines currently in effect. Annual revisions of these guidelines are normally published in February or early March of each year. These revised guidelines may be obtained at public libraries, Congressional offices, or by writing the Superintendent of Documents, U. S. Government Printing Office, Washington, DC 20402. These Guidelines are also accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. For assistance in accessing the Bulletin Board, a Guide to Accessing and Downloading is available from Ms. Minnie Landry at (202) 401-5309.

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

#### *F. Sub-Contracting or Delegating Projects*

An applicant will not be funded where the proposal is for a grantee to act as a straw-party, that is, to act as a mere conduit of funds to a third party without performing a substantive role itself. This prohibition does not bar subcontracting or subgranting for specific services or activities needed to conduct the project.

#### *G. Maintenance of Effort*

The activities funded under this program announcement must be in addition to, and not in substitution for, activities previously carried on without Federal assistance. Also, funds or other resources currently devoted to activities designed to meet the needs of the poor within a community, area, or State must not be reduced in order to provide the required matching contributions. When legislation for a particular block grant permits the use of its funds as match, the applicant must show that it has received a real increase in its block grant allotment and must certify that other anti-poverty programs will not be scaled back to provide the match required for this project. A signed certificate of Maintenance of Effort must be included with the application (see Attachment J).

#### *H. Multiple Submittals and Multiple Grants*

In accordance with the statutory provision that limits grants to any eligible entity to one in any given fiscal year, no eligible applicant will receive more than one grant pursuant to this Announcement.

### Part III. Program Priority Areas

#### *1.0 General Demonstration Projects (Approximately \$2.4 Million Available)*

For Fiscal Year 1995 OCS plans to fund approximately seven General Demonstration Projects at \$350,000 or less each.

Applications submitted under this category must focus on developing new and innovative ways of promoting individual and family self-sufficiency among the poor within the context of the communities in which they live. The applicant will be expected to propose solutions that show promise of increasing self-sufficiency and that depart from or modify conventional approaches used by eligible entities. At a minimum, every individual should achieve an economic self-sufficiency goal appropriate to their age group. For adult populations (18 years of age or more) that goal should include a job which will allow individuals to provide for basic needs with the potential for

career development that will lead to self-sufficiency within a reasonable period of time, enrollment in an educational program which will lead to such a job, or interim goals on the ladder to self-sufficiency.

While self-sufficiency implies reliance on one's own initiative and abilities, such a transformation cannot occur independently of the context of the relationships, resources, and institutions in the surrounding community. OCS understands the importance to self-sufficiency of such community resources as adequate child care, safe and affordable housing, accessible medical care, good transportation, adequate municipal services and other elements of the community's socioeconomic infrastructure. Also important to real progress toward self-sufficiency is readily available and empathetic help in accessing these institutional resources and the emotional support networks that enable people to overcome adversity and move ahead.

Accordingly, OCS is interested in demonstrations of strategies that offer real promise of transforming the lives of poor individuals and families in part by improving the community infrastructure and the workings of the community's service institutions. Applications should include partnerships with organizations which are providers of services within the community and one of the goals of the partnerships should be a developing shift of focus within these organizations from one of client maintenance to client transformation, and a growing recognition of the value of the agency's services as investments in their clients' communities.

In the spirit of "local initiative" OCS looks forward to innovative proposals that grow out of the experience of community action and the needs of the applicants' clientele and communities, and that will make the fruits of local creativity available broadly to others seeking solutions to similar problems.

At the same time, OCS is again interested in receiving applications that propose a realistic plan for harnessing self-sufficiency support activities to Environmental Justice and Sustainable Community Development initiatives in ways which will offer the poor opportunities for long term career development as well as improving the supportive economic infrastructure and facilities of the community. (See Attachment A for a fuller discussion of Environmental Justice and Sustainable Community Development.)

For the purposes of this Announcement, programs falling within the rubric of Environmental Justice and

Sustainable Community Development might include community-based job and career development around lead abatement in low-income dwellings; in clean-up of toxic wastes or leaking underground storage tanks; in holistic "livable house" treatment of low-income dwellings which would combine lead abatement with weatherization and the mitigation of other hazards such as asbestos or radon; in the installation and maintenance of alternative and renewable energy technologies in the homes of the poor; in recycling; in the exploitation of new and non-traditional uses of agricultural crops and products; in forest or watershed restoration; in urban pesticide programs designed to reduce the use of toxic pesticides in low income urban communities through Integrated Pest Management and similar techniques; or in the launching of enterprises involving new and non-polluting manufacturing or other commercial methodologies which can provide needed goods and services in ways which are non-polluting and consistent with sustainable community development.

When, in addition, these community-based improvement initiatives capitalize upon significant new public programs or private market forces that offer good potential for continuing financial support of these activities, the initiatives have reasonable chances of growing and prospering, thereby offering additional jobs to entry-level workers and career prospects to employees who perform well. Applications that offer a sound plan for capitalizing upon such public and/or private market forces to provide real employment and career opportunities for low-income individuals will be especially welcome.

Applications which propose initiatives involving activities which will expose program participants or community residents to toxic or poisonous substances, including, but not limited to, lead paint or dust, asbestos, toxic wastes, radon gas, or toxic pesticides, must include, as an appendix to the application, specific assurances that all applicable federal, state, and local laws and regulations for the protection of workers and community residents will be strictly adhered to.

Applications which include job and career development dependent on the securing of contracts for services or successful marketing of goods and/or services must include assurance that such contracts will be forthcoming or assurance based on market surveys or other means that sufficient markets for

the proposed goods or services exist to promise a reasonable expectation of project success. Where the development and management of a new business venture are a major focus of the proposed work plan, applicant must provide assurance that such activities will be under the direction of a person or persons having business experience, and the application must include, as an appendix, a Business Plan based on the outline included as Attachment B to this Announcement.

The interventions that applicants propose for this program should be multi-dimensional in nature in order to provide the kind of comprehensive approach needed as an effective basis for individual transformation. They should, where appropriate, address both individual and family progress toward self-sufficiency, and may also involve two or more generations as both providers and beneficiaries of project services.

#### *2.0 Replication Projects (Approximately \$1.5 Million Available, Including 1 Urban Youth Project)*

The Demonstration Partnership Program is required by its authorizing legislation to invest at least 10% (but no more than 25%) of its appropriation to replicate, in additional geographic areas, previously funded programs that have demonstrated a significant potential for dealing with particularly critical needs or problems of the poor that exist in a number of communities.

For Fiscal Year 1995 OCS plans to fund up to three general replication projects at up to \$350,000 each, and one replication urban youth project at up to \$500,000, for a total of up to approximately \$1,500,000. OCS seeks to stimulate, with these grants, additional experimentation and application of approaches that seem to offer special promise in fostering social and economic self-sufficiency among a variety of low-income people.

The eligibility, match requirements, and time frame for General Replication Projects are the same as for General Demonstration Projects; for Urban Youth Replication Projects they are the same as for Urban Youth Projects.

For FY 1995, OCS has identified four previously funded Demonstration Partnership Projects that have, in their design and implementation, demonstrated a significant potential for dealing successfully with a number of critical needs and problems of poor people in differing circumstances. The four projects are:

A. *Micro-Enterprise Development Program (MEDP)*, [Now called the *Neighborhood Economic Development*

*Self-Employment Program (NEDSEP)*], Philadelphia, sponsored by the Mayor's Office of Community Services, which has successfully carried out a project of Micro-Enterprise/Self-Employment development, supported by training and technical assistance, comprehensive case management, and peer counselling, among homeless residents of a North Philadelphia low-income neighborhood. Project partners included the Philadelphia County Assistance Office, the Philadelphia Private Industry Council (PIC), the Minority Business Enterprise Council, the Philadelphia Office of Services for Homeless and Adults, the Service Corps of Retired Executives, and the Beech Consortium, a consortium of 45 local private and public organizations. The Philadelphia Project can be reached through: Rosalind Johnson, Project Manager, Mayor's Office of Community Services, 1608 N. Carlisle St., Philadelphia, PA 19121, (215) 978-5930.

B. *The Success Connection*, Yakima, Washington, sponsored by Yakima Valley Opportunities Industrialization Center, which has successfully carried out a project of Case Management, support groups, skills training, and family involvement for Hispanic at risk teen-age children of Migrant and Seasonal Farmworker families in the Yakima Valley. In partnership with the state Migrant Education Services, Central Washington University, and local school districts, the project reduced truancy and drop-out rates, increased school attendance and achievement, developed employment opportunities, and encouraged post-secondary schooling among participating youth. The success of the program has led to the State of Washington's decision to support its implementation State-wide. The Yakima Project can be reached through: Mr. Henry Beauchamp, Executive Director, Yakima Valley OIC, 815 Fruitvale Blvd., Yakima, WA 98902, (509) 839-2717.

C. *Homeless Opportunity Project*, Bath, Maine, sponsored by Coastal Economic Development, Inc., which has combined three innovative components into a successful program to foster self-sufficiency among the homeless poor. These include a shelter-based job training program, a system-wide change in delivery of services to an integrated case-management approach, and an assessment instrument which can be used in the design of individualized development plans for program participants. Project partners include the area's homeless shelter and three other local non-profit providers, Shoreline Community Mental Health Systems, the Addiction Resource

Center, and the United Way of Mid-Coast Maine. The Maine Project can be reached through: Jessica Harnar, Executive Director, Coastal Economic Development, Inc., 39 Andrews Road, Bath, ME 04530, (207) 442-7963.

D. *Step-Up Young Father Mentor Program*, Phoenix, Arizona, sponsored by the City of Phoenix Human Services Department in partnership with the Valley Big Brothers/Big Sisters of Arizona, which has successfully brought "Big Brother" mentoring to youthful, largely minority (62% Hispanic, 20% Black, 4% Native American) fathers, between the ages of 16 and 22, as part of a comprehensive program of education, pre-employment and skills training, and case management/family development services to enable them to assume greater responsibility for their families. This is the first time that the Big Brother organization nationally has worked with this age group. Additional project partners include the Centers for Advancement of Educational Practices, City of Phoenix Parks, Recreation and Library Dept., Maricopa County Community Colleges, and City of Phoenix Employment and Training. The Phoenix project can be reached through: William Chipman, Project Director, 1250 South 7th Ave., Phoenix, AZ 85007, (602) 262-6907.

OCS is interested in replicating each of these programs in a geographically different but appropriate setting.

The Philadelphia project design should function effectively in another large urban setting with a substantial homeless population. It would seem well suited to a city which has received designation as an Empowerment Zone or Enterprise Community, where activities pursuant to the EZ/EC Strategic Plan could stimulate markets for project participants' enterprises.

The Yakima project design should be tried with Hispanic Farmworker populations in another section of the country, perhaps in California or the Southwest.

The Maine project design should be tried with homeless populations in another rural setting, perhaps in a more economically depressed community to test its applicability to higher concentrations of homeless.

The Phoenix project design should function effectively with minority urban youth in a community with an active Big Brothers/Big Sisters or comparable organization willing to participate as an active partner in the project. In the case of the Phoenix project, the replication project will be considered an Urban Youth project for purposes of grant amount (up to \$500,000) and match requirement (25% of the OCS grant

amount); but proposals will be reviewed under the Priority Area 2.0 Replication Project Elements and Review Criteria.

In each case, the application for a Replication Project should provide for an extensive site visit or site visits by key staff to the project to be replicated (Host Project), during which such staff can receive orientation training and actually serve a brief apprenticeship in the program. In addition, provision should be made for a site visit by staff of the Host Project to the Replication Project during the first year of its operations. The proposed Project Budget should make provision for the costs of such site visits/apprenticeships, as well as for appropriate consulting fees for staff of the Host Project; and the application should include, as an appendix, a Memorandum of Understanding or Letter of Agreement between the applicant and the Host Project setting forth training/apprenticeship undertakings and the attendant financial arrangements.

### *3.0 EZ/EC Continuous Improvement Grants (Maximum of \$1,000,000 Available)*

OCS in FY 1994 made approximately 115 \$10,000 DPP grants to CAA's involved locally with developing Strategic Plans for submission to the Departments of HUD and Agriculture seeking designation as Empowerment Zones or Enterprise Communities (EZ/EC). The purpose was to strengthen CAA involvement in the local planning process so as to assure the fullest possible participation of low-income residents of the affected communities.

OCS in FY 1995 is interested in making a number of "Continuous Improvement" grants to CAA's or eligible farmworker organizations which had and have major involvement in the planning and implementation of these Strategic Plans in their communities. The purpose of these grants will be to continue to support the involvement of low income residents in the improvement and implementation of these Strategic Plans through activities which will seek to develop innovative ways to increase the self-sufficiency of the poor. Another important purpose of the grants will be to assist grantees to establish or participate in the establishment of a system of information and data collection that will track the activities carried out and identify those which develop and implement new and innovative approaches to deal with particularly critical needs or problems of the poor which are common to a number of communities, including new approaches to dealing with the problems caused by entrenched, chronic

unemployment and lack of economic opportunities for urban youth.

OCS proposes, therefore, to fund up to 20 grants of up to \$50,000 apiece, for a maximum total of approximately \$1,000,000, to enable applicants eligible for the Demonstration Partnership Program to participate in the continuous planning and improvement, and to monitor the implementation, of these Strategic Plans at the local level. OCS hopes these grants will enable grant recipients, through the collection and use of information about strategic planning, implementation and performance, to influence the shape and priorities of these initiatives, and to make possible the closer monitoring of progress at the local community level.

Each grant under this Priority Area will be for up to \$50,000. As with Priority Areas 1.0 and 2.0, a 100% match will be required, which can be in cash or in-kind fairly valued, and the operational project time frame for these Continuous Improvement projects is two years, with up to six additional months for start-up and six months after the operational period to complete evaluation and reporting.

OCS expects the project funds to be used to facilitate participation of low income residents and to expand the grantee's human and/or technical resources, which with OCS support will enable it to broaden its involvement in the implementation and monitoring of the Strategic Plan. Applicants are encouraged to contact their State Corporation for National Service Offices and/or their State Commissioner for National Service to discuss possible national service participation in their projects (e.g. Americorps-VISTA, Americorps USA, National Senior Service Corps, Learn and Serve). Such participation could provide two or more volunteers to support the work of the planner and assist staff in the Continuous Improvement project.

Applicants for these Continuous Improvement grants should represent communities that have developed EZ/EC Strategic Plans and are proceeding to implement them, either with or without the support of designation as an Empowerment Zone/Enterprise Community. OCS hopes to make grants to at least two communities that did not receive EZ/EC designation. But in all cases applicants must provide evidence of close working relationships with those involved in the EZ/EC planning and/or implementation process, the local nominating officials, and the other agencies and resources that participated in the development of the community's strategic plan document. Special emphasis should also be given in

applications to establishing and documenting working relationships with additional data collection and analysis resources such as Historically Black Colleges and Universities and Minority Institutions with strong ties to the low-income community.

#### 4.0 Urban Youth Projects (up to \$2.5 Million Available, Including 1 Replication Project)

For FY 1995, OCS expects to award five or six grants of up to \$500,000 for a total of up to \$2.5 million for projects that propose to demonstrate new approaches to dealing with the problems caused by entrenched, chronic unemployment and lack of economic opportunities for urban youth, between 10 and 25 years of age. As noted above, under Priority Area 2.0, these could include one Urban Youth Project for replication of the Step-Up Young Father Mentor Program in Phoenix, Arizona.

The authorizing legislation provides that "demonstrations shall include such initiatives as peer counseling, mentoring, development of job skills, assistance with social skills, community services, family literacy, parenting skills, opportunities for employment or entrepreneurship, and other services designed to assist such at-risk youth to continue their education, to secure meaningful employment, to perform community service, or to pursue other productive alternatives within the community."

OCS recognizes that greater self-sufficiency and productivity among urban youth will not occur in isolation of new innovative approaches to address the conditions that prevent dependency. Urban youth, between the ages of ten (10) and twenty-five (25), experience a number of systemic conditions that prohibit the achievement of self-sufficiency and independence as they grow into adulthood.

Over two-thirds of urban youth are born to unmarried women. Nationally, families consisting of children in households headed by unmarried females rose from some 10 percent in 1960 to over 35 percent today, according to the Joint Center for Economic Studies. This development alone has serious economic implications. The growth in female-headed families contributes significantly to the overall deepening of poverty among urban children.

Declines in economic opportunities play at least as great a part in increasing the prevalence of poverty as the change in family structure. The growing prevalence and geographic concentration of urban youth tend to be

associated with poor schools, high public social service usage, greater exposure to crime, and fewer employment options.

Urban males who grow up in poor, mother-only families appear to be at special risk for a variety of problems. They are at special risk of becoming alienated and marginalized adults.

Today's urban youth find themselves and their parent(s) caught in a downward shift from working poor (mother-only) families to dependent poor (mother-only) families. They are not only subject to greater economic deprivation, but they:

- Are very likely to be unemployed and on public assistance;
- Grow up with few material or educational resources;
- Are likely to engage in substance abuse and/or criminal activities;
- Lack guidance from responsible adults to teach them how to respect themselves and others while they track through adolescence to adulthood;
- Are at special risk for a variety of behavioral problems;
- Are too often inclined to detach themselves from parental authority; and,
- Are likely to assert themselves in gangs and street cultures that support a flamboyant lifestyle through illicit trafficking.

Applicants are encouraged to develop cooperative learning partnerships of the type that will blend regular classroom curriculum and instructions with stay-in-school programs (including college programs) and the world of work. Innovative concepts might include ideas built around matching scholarship and grant funds offered from other public and private sources to promising low income urban youth.

Projects might also include requests for funds to support diversified occupation projects (projects designed to bridge the gap between school-based programs and the world of work). Envisioned is the promotion of joint projects between local public schools and private sector businesses to develop partial or after school and weekend job apprenticeships or placement opportunities for urban youth. Projects seeking to develop opportunities around computer technology repair work, machine tool manufacturing, and career development in the areas of abatement of environmental hazards and pollution are encouraged.

The target group of disadvantaged youth should not be considered in isolation from the community in which they live. Applicants should seek to

involve partners in their project that make possible a comprehensive, holistic approach to individual, family, and community development; including agencies that can assist with parenting, housing, family mentoring, vocational training, day care, transportation, apprenticeships and employment, and interventions in violent situations. OCS is interested, for this set-aside as well as for the other grants, in demonstrations that test the targeting and delivery of these and other services to the disadvantaged youths and their urban neighborhoods and that employ computer workstations and similar strategies for improving the efficiency and effectiveness of the delivery of those services.

Applicants should identify any barriers that might hinder efforts by the project team/partnership to help members of the target population become self-sufficient and include in their proposals specific plans to counteract them. OCS is particularly interested in partnerships that propose creative ways to deal with problems of individual and group violence, including violence as a response to conditions in families and communities that have been subjected to historical patterns of oppression. OCS feels that to assure the safety of all program participants and staff it is essential that such programs be closely coordinated with local law enforcement agencies.

Where projects propose to work with youth 10 to 15 years of age, applicants should consider the stages of youth development and seek to counter unhealthy influences on that development by strengthening this population's sense of community through project activities. It is important, in this regard, that project-related contacts and activities be frequent and intense enough to make a positive impact on participating youths. Applications that include linkages with national and local organizations with significant experience in this issue are encouraged.

Applicants seeking guidance on program design, availability of resources, or the identification of persons or organizations in their communities that can provide additional guidance, support, and expertise in the areas of disadvantaged youth and violence prevention may wish to contact one of the following persons for information and assistance: Clifton Mitchell, Chief, Special Projects Branch, Center for Substance Abuse Treatment, 5515 Security Lane, Rockwall II, 7th Floor, Rockville, MD 20852, (301) 443-6533

Warren W. Hewitt, Jr., Director, Division of Clinical Programs, Center for Substance Abuse Treatment, 55-5 Security Lane, Rockwall II, 7th Floor, Rockville, MD 20852, (301) 443-8160

Dr. Donald Vereen, M.D., M.P.H., Special Assistant to the Director, National Institute on Drug Abuse, National Institutes of Health, 5600 Fishers Lane, Room 10-05, Rockville, MD 20857, (301) 443-6480

Timothy Thornton, Associate Director for Youth Programs, Division of Violence Prevention, National Center for Injury Prevention and Control (NCIPC), Centers for Disease Control, 4770 Buford Highway NE, Atlanta, GA 30341, (404) 488-4646

Marilyn Silver, Information Specialist, Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, 633 Indiana Ave. NW, Washington, DC 20531, (202) 616-3551

James Breiling, Ph.D., Violence and Traumatic Stress Research Branch, National Institute of Mental Health, NIH, Parklawn Bldg. Room 10C-24, 5600 Fishers Lane, Rockville, MD 20857, (301) 443-3728

#### Part IV. Application Elements and Review Criteria

The ultimate goals of the projects to be funded under the Demonstration Partnership Program are to realize, through project interventions, significant improvements in the social and economic self-sufficiency of members of the communities served, to evaluate the effectiveness of these interventions and of the project design through which they were implemented, and thus to make possible the replication of successful programs. As noted above, OCS intends to make the awards of all the above grants on the basis of brief, concise applications. The elements and format of these applications, along with the review criteria that will be used to judge them, will be outlined in this Part.

In order to simplify the application preparation and review process, OCS seeks to keep grant proposals cogent and brief.

Applications with project narratives (excluding appendices) of more than 20 letter-sized pages of 12 c.p.i. type or equivalent on a single side will not be reviewed for funding. Applicants should prepare and assemble their project description using the following outline of required project elements. They should, furthermore, build their project concept, plans, and application description upon the guidelines set forth for each of the project elements.

For each of the Project Elements or Sub-Elements below there is at the end of the discussion a suggested number of pages to be devoted to the particular element or sub-element. These are suggestions only; but the applicant must remember that the overall Project Narrative cannot be longer than 20 pages.

The competitive review of proposals will be based on the degree to which applicants:

- (1) Incorporate each of the Elements and Sub-Elements below into their proposals, so as to:
- (2) Describe convincingly a project that will develop and implement new and innovative approaches to address particularly critical needs or problems of the poor;
- (3) In ways that appear likely to increase their self-sufficiency; and
- (4) Test and evaluate such approaches so as to make possible replication of a successful program.

#### *A. Program Elements, Review and Assessment Criteria for Applications Under Priority Areas 1.0 and 4.0*

##### Element I. Organizational Experience and Capability

(Weight of 0 to 5 points in proposal review.)

Applicants should cite their organization's capability and relevant experience in developing and operating programs which deal with poverty problems similar to those to be addressed by the proposed project. They should also cite the organization's experience in collaborative programming and operations which involve evaluations and data collection. While the proposed project management team will be identified and described elsewhere in the application, applicants should identify agency executive leadership in this section and briefly describe their involvement in the proposed project and provide assurance of their commitment to its successful implementation. An important indicator of the applicant organization's capability will be the certification to that effect by the State CSBG Director in the required letter of eligibility certification. (See Part I. B., Eligibility, above.)

Applicants should use no more than 2 pages for this element.

##### Element II. Project Theory, Design, and Plan

(Total Weight of 0-25 points in proposal review)

OCS seeks to learn from the application why and how the project as proposed is expected to lead to

significant improvements in individual and family self-sufficiency.

Applicants are urged to design and present their project in terms of a conceptual cause-effect framework. In the following paragraphs a "logic model", or framework is described, that suggests a way to present a project so as to show the "logic" of the cause-effect relations between project activities and project results. Applicants don't have to use the exact "logic model" language described; but it is important to present the project in a way that makes clear the cause-effect relationship between what the project plans to do and the results it expects to achieve.

Sub-Element II(a). Description of Target Population, Analysis of Need, and Project Assumptions. (Weight of 0-10 points in application review)

The "logic model" begins with identifying the underlying assumptions about the program. These are the beliefs on which the proposed program is built: the assumptions about the needs of the client population to be served; about the current services available to those clients, and where and how they fail to meet their needs; about why the proposed services or interventions are appropriate, and will meet those needs; and about the impact the proposed interventions will have on the clients.

In other words, the underlying assumptions of the program are the applicant's analysis of the needs and problems to be addressed by the project, and the applicant's theory of how its proposed interventions will address those needs and problems to achieve the desired result. Thus a strong application is based upon a clear description of the needs and problems to be addressed and a persuasive understanding of the causes of those problems.

In this sub-element of the proposal the applicant should precisely identify the target population to be served. The geographic area to be impacted should then be briefly highlighted, selectively emphasizing the socioeconomic/poverty and other data that are relevant to the project design. Applicants for environmental justice projects, for instance, might include as much data about neighborhood pollution and recycling markets as they do about poverty conditions.

The needs of this target population should then be clearly defined, and the applicant should state its underlying assumptions about how these needs can be addressed by the proposed project.

Applicants should use no more than 2 pages for this application sub-element.

Sub-Element II(b). Project Strategy and Design Framework: Interventions,

Outcomes, and Goals (Weight of 0–10 points in proposal review.)

To continue with the “logic model”: The underlying assumptions concerning client needs and the theory of how they can be effectively addressed, which are discussed above, lead in the project design to the conduct of a variety of project activities or interventions, each of which is assumed to result in immediate changes, or outcomes.

The immediate changes lead to intermediate outcomes; and the intermediate outcomes lead to the final project goals.

So in this sub-element the applicant should describe the major activities, or interventions, which are to be carried out to address the needs and problems identified in the previous sub-element. And it should discuss the immediate changes, or outcomes, which are expected to result. These are the results expected from each service or intervention immediately after it is provided. For example, a job readiness training program might be expected to result in clients having increased knowledge of how to apply for a job, improved grooming for job interviews, and improved job interview skills. Or peer mentoring coupled with training in dispute settlement might be expected to result in young urban clients acquiring skills useful in avoiding violent confrontations.

At the next level are the intermediate outcomes which result from these immediate changes. Often an intermediate project outcome is the result of several immediate changes resulting from a number of related interventions such as training and mentoring. Intermediate project outcomes should be expressed in measurable changes in knowledge, attitudes, behavior, or status/condition. In the above examples, the immediate changes achieved by the job readiness program could be expected to lead to intermediate outcomes of client employment and increased income. The acquisition of dispute settlement skills, coupled with mentoring, could be expected to result in the actual avoidance of confrontation and violence.

Finally, the application should describe how the achievement of these intermediate outcomes will be expected to lead to the attainment of the project goals: Employment, new careers in environmental clean-up, successful business ventures, enrollment in post secondary education, or whatever they may be. Applicants must remember that if the major focus of the project is to be the development and start-up of a new

business, then a Business Plan which follows the outline in Attachment B to this announcement must be submitted as an appendix to the Proposal.

Applicants don't have to use the exact “logic model” terminology described above, but it is important to describe the project in a way that makes clear the expected cause-and-effect relationship between what the project plans to do—the activities or interventions, the changes that are expected to result, and how those changes will lead to achievement of the project goals of greater self-sufficiency.

This design section should cover no more than 3 pages of the proposal.

*Sub-Element II(c). Work Plan* (Weight of 0–5 points in proposal review.)

Once the project strategy and design framework are established, the applicant should present the highlights of a work plan for the project. The plan should explicitly tie into the project design framework and should be feasible, i.e., capable of being accomplished with the resources and partners available. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Critical issues or potential problems that might affect the achievement of project objectives should be explicitly addressed, with an explanation of how they would be overcome, and how the objectives will be achieved notwithstanding any such problems. The plan should be presented in such a way that it can be correlated with the budget narrative included earlier in the application.

The applicant should use no more than 2 pages for this part of this proposal element.

Applicant may be able to use a simple Gantt or time line chart to convey the work plan in minimal space.

Element III. Project Partnerships

(Weight of 0–15 points in the proposal review.)

Suitable project partners are a required component of the Demonstration Partnership Program, and are critical to the kind of service concentration and systemic change envisioned by OCS. Project partners should have skills, resources, and experience that complement those of the applicant, so that the partnership is stronger than its individual parts. Applicants should use this section to identify their project partners, describe the roles that they have agreed to play, and document that at least 50% of the matching funds will be provided by these partners through the delivery of specific services or resources to the target population.

The application should include, in an appendix, commitment letters from, or Partnership Agreements with these proposed partners signed by the executive of the partnering entity. These documents should describe the role of the partner in the project, including the relevant skills of the partner, the services to be provided, and the resources and levels of effort to be provided to the project.

Applicants should use no more than 3 pages for this proposal element (plus the Partnership Agreement(s) in the appendix).

Element IV. Project Innovations

(Weight of 0 to 10 points in the proposal review.)

Applicant should briefly describe the ways in which the proposed project represents a new and innovative approach or approaches to provide for greater self-sufficiency of the poor and/or to deal with particularly critical needs or problems of the poor that are common to a number of communities. Innovation can be in the characteristics of the target population to be served, or the needs to be addressed; the kinds of activities, or interventions, that will be carried out; the ways in which they will be carried out; new and different combinations of activities or interventions that will be implemented; or in the settings in which the project will function: e.g. new and innovative types of work or businesses or institutions in which the project will function.

Applicants should use no more than 1 page for this proposal element.

Element V. Project Management and Organization

(Weight of 0 to 10 points in the proposal review.)

While the experience of agency leadership is important to project success, the caliber of day-to-day project management is critical. Applicants should identify the Project Director and other key staff they feel are especially important to the success of the project, and include resumes as an appendix to the proposal. Where the staff have not been identified, a position description should be included in the appendix. The application should describe their relevant capabilities for managing this multi-faceted project, with emphasis placed on successful management experience in directing both on-budget and leveraged resources to create community conditions capable of supporting effective interventions and transforming lives. This individuals' commitment and planned level-of-effort



to the project should be specified. Project proposals will be assessed, for this element, on the relevant experience, capabilities, commitment and planned level of effort to the project of the Project Director and key staff members as described in the application.

Applicants should also, in this section, describe (and diagram if necessary) the organization of the project. The relationships among the Project Director and the key officials in the applicant and partnering organizations should be depicted, and the project-related authorities and responsibilities of these key actors should be made clear.

Applicants should use no more than 2 pages for this proposal element (plus the resumes and/or position descriptions in the appendix).

#### Element VI. Project Budget

(Weight of 0–5 points in the proposal review.)

Applicants will be required to submit Federal budget forms with their proposals to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (424A). In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Narrative, or explanatory budget information. This Budget Narrative is not considered a part of the Project Narrative, and does not count as part of the twenty pages; but rather is included in the application following the budget forms.

The budget narrative should briefly explain the adequacy of the Federal and match funds to accomplish project purposes, should explain the source and nature of matching funds, and should identify and briefly explain any imbalances between level of activities undertaken and project funds expended. Applicants should nonetheless use no more than two or three pages for this proposal element (not including the federal budget forms).

Resources in addition to the required matching amounts are encouraged by OCS, both to augment project resources and to strengthen the basis for continuing partnerships to benefit the target community. The amounts of such resources beyond the required match, their appropriateness to the project design, and the likelihood that they will continue beyond the project time frame will be taken into account in judging the application.

#### Element VII. Project Evaluation

(Weight of 0–15 points in the proposal review.)

Sound evaluations are essential to the Demonstration Partnership Program. OCS requires applicants to include in their applications a well thought through outline of an evaluation plan for their project. The outline should explain how the applicant proposes to answer the key questions about how effectively the project is being/was implemented (the Process Evaluation) and whether and why/why not the project activities, or interventions achieved the expected outcomes and goals of the project (the Outcome Evaluation).

Applicants are not being asked to submit a complete and final Evaluation Plan as part of their proposal; but they must include:

(1) A well thought through outline of an evaluation plan which identifies the principal cause-and-effect relationships to be tested, and which demonstrates the applicant's understanding of the role and purpose of both Process and Outcome Evaluations (see previous paragraph);

(2) The identity and qualifications of the proposed third party evaluator, or if not selected, the qualifications which will be sought in choosing an evaluator, which must include successful experience in evaluating social service delivery programs, and the planning and/or evaluation of programs designed to foster self-sufficiency in low income populations; and

(3) A commitment to the selection of a third-party evaluator approved by OCS, and to completion of a final evaluation design and plan, in collaboration with the approved evaluator and the OCS Evaluation Technical Assistance Contractor during the six-month start-up period of the project, if funded.

Applicants should ensure, above all, that the evaluation outline presented is consistent with their project design. A clear project framework of the type recommended earlier identifies the key project assumptions about the target populations and their needs, and the hypotheses, or expected cause-effect relationships to be tested in the project: that the proposed project activities, or interventions, will address those needs in ways that will lead to the achievement of the project goals of self-sufficiency. It also identifies in advance the most important process and outcome measures that will be used to identify performance success and expected changes in individual participants, the grantee organization, and the community.

For these reasons, the evaluator that the applicant expects to work with should be involved—at least briefly but

substantively—in the development of the project design and proposal.

The applicant should use no more than 3 pages for this proposal element, plus the Resume or Position Description for the evaluator, which should be in an Appendix.

#### Element VIII. Significant and Beneficial Impact

(Weight of 0–10 points in the proposal review.)

OCS seeks, with its Demonstration Partnership Program, to use a modest amount of money to support innovative approaches that will create significant benefits for low-income individuals, families, and communities.

Accordingly, it intends to make grants that have a strong likelihood of creating beneficial impacts both within the project communities and, through wide dissemination of useful project results and findings, in other communities facing similar challenges.

The proposed project is expected to lead to tangible achievements toward individual and family self-sufficiency and, as a result, verifiable reductions in the incidence of poverty in the targeted community. Applicants should summarize, in this section, the beneficial impacts that they propose to make in that community, their expectations for the continuation of those benefits beyond the project's life, and the kind of information that they expect to share with OCS and the social service/community development fields from their demonstration project. Project proposals will be assessed, for this element, on the likely value of the project to the target community over time—given the proposed outcomes and the likelihood that they will be realized—and to the larger community of CSBG grantees across the nation.

Applicants should use no more than 1 page for this proposal element. The score for the element will be based to some extent on the coherence and feasibility of the entire application.

#### Element IX. Community Empowerment Consideration

(Weight of 0–5 points in proposal review.)

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 rate of at least 20%, designation as an Empowerment Zone or Enterprise Community, high levels of unemployment, and a high incidence of violence, gang activity, crime, or drug use. If such is the case, applicants should document that they

were involved in the preparation and planned implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner and how the proposed project supports the goal(s) of that plan. (0–5 points)

Applicants should use no more than 1 page for this proposal element.

*B. Special Program Elements, Review and Assessment Criteria for Applications for Replication Projects Under Priority Area 2.0*

The Project Narrative should begin with the statement that the proposal is for a replication project in priority area 2.0, and identify which of the projects described in Part II is to be replicated. Note that proposals for replication of the Philadelphia; Yakima, Washington; and Bath, Maine projects are limited to a maximum grant amount of \$350,000 with a 100% match, similar to General Demonstrations under Priority Area 1.0. Proposals for replication of the Phoenix project will, for purposes of grant amount and match requirement, be considered Urban Youth Projects under Priority Area 4.0 with a maximum grant amount of \$500,000 and a required match of 25% of the OCS grant amount. In all other respects, proposals for replication of the Phoenix project should follow the elements and criteria of this Sub-Part, which follow.

**Element I. Organizational Experience and Capability**

(Weight of 0 to 5 points in proposal review.)

[This element should be the same as under Priority Areas 1.0 and 4.0, and should take no more than 2 pages of the Project Narrative.]

**Element II. Project Theory, Design, and Plan**

(Total Weight of 0–25 points in proposal review.)

OCS seeks to learn from this element of the application why and how the project as proposed is expected to lead to significant improvements in individual and family self-sufficiency.

Applicants may find it helpful to design and present their project in terms of a conceptual cause-effect framework. A “logic model” that may be helpful is developed in the following paragraphs.

**Sub-Element II(a). Description of Target Population, Analysis of Need, and Project Assumptions.** (Weight of 0–10 points in application review.)

The “logic model” begins with identifying the underlying assumptions about the program. These are the beliefs on which the proposed program is built:

The assumptions about the needs of the client population to be served; about the current services available to those clients, and where and how they fail to meet their needs; about why the proposed services or interventions are appropriate, and will meet those needs; and about the impact the proposed interventions will have on the clients.

In other words, the underlying assumptions of the program are the applicant’s analysis of the needs and problems to be addressed by the project, and the applicant’s theory of how its proposed interventions will address those needs and problems to achieve the desired result. In this sub-element of the proposal the applicant should precisely identify the target population to be served. The geographic area to be impacted should then be briefly highlighted, selectively emphasizing the socioeconomic/poverty and other data that are relevant to the project design.

The needs of this target population should then be clearly defined, with particular attention to whether and how the characteristics and needs of this target population appear to differ from those of the project being replicated (the Host Project). The applicant should state its underlying assumptions about how these needs can be addressed by the proposed project, including its assumptions about any modifications to the design and interventions of the Host Project that it believes are needed to address such differences.

Applicants should use no more than 2 pages for this application sub-element.

**Sub-Element II(b). Project Strategy and Work Plan: Interventions, Outcomes, and Goals.** (Weight of 0–15 points in proposal review.)

To continue with the “logic model”:

The underlying assumptions concerning client needs and the theory of how they can be effectively addressed, which are discussed above, lead in the project design to the conduct of a variety of project activities or interventions, each of which is assumed to result in immediate changes, or outcomes.

The immediate changes lead to intermediate outcomes; and the intermediate outcomes lead to the final project goals.

In this sub-element, applicants for replication projects under Priority Area 2.0 should explain the strategy and design of the project being replicated (the Host Project), and how they plan to implement and/or adapt the activities, or interventions of the Host Project to the particular needs of the new target population and the setting of the replication project, as described in the previous sub-element. The applicant

should describe the immediate changes expected to result from the project activities, or interventions, and how they can lead to intermediate outcomes, and in turn to attainment of the final project goals.

Again, applicants don’t have to use this exact terminology, but it is important to describe the project in a way that makes clear the expected cause-and-effect relationship between what the project plans to do—the activities or interventions, the changes that are expected to result, and how those changes will lead to achievement of the project goals of greater self-sufficiency.

Finally, the applicant should present the highlights of a work plan for the project patterned after the work plan of the Host Project, and highlight any differences from that plan. It should explicitly tie into the project design framework and should be feasible, i.e., capable of being accomplished with the resources and partners available. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Critical issues or potential problems that might affect the achievement of project objectives should be explicitly addressed, with an explanation of how they would be overcome, and how the objectives will be achieved notwithstanding any such problems. The plan should be presented in such a way that it can be correlated with the budget narrative developed later in the application.

The applicant should use no more than 4 pages for this proposal sub-element. Applicant may be able to use a simple Gantt or time line chart to convey the work plan in minimal space.

**Element III. Project Partnerships**

(Weight of 0–30 points in the proposal review.)

**Sub-element III(a). Arrangements with Host Project.** (Weight of 0–15 points in the proposal review.)

Applicant must have made arrangements with the project to be replicated (the Host Project) for an extensive site visit or site visits by key staff to the Host Project, during which such staff can receive orientation training and actually serve a brief apprenticeship in the program. In addition, provision should be made for a site visit by staff of the Host Project to the Replication Project during the first year of its operations.

In this sub-element applicant should briefly describe the steps that it has taken to learn about the design, work plan, and findings of the Host Project, and the arrangements that have been

made for site visits and/or apprenticeships. The proposed Project Budget should make provision for the costs of such site visits/apprenticeships, as well as for appropriate consulting fees for staff of the Host Project; and the application should include, as an appendix, a Memorandum of Understanding or Letter of Agreement between the applicant and the Host Project setting forth training/apprenticeship undertakings and the attendant financial arrangements.

Applicants should use no more than 3 pages for this proposal element (plus the Memorandum of Understanding or Letter of Agreement with the Host Project, which should be in an Appendix).

*Sub-element III(b). Project Partnerships.* (Weight of 0–15 points in the proposal review.)

Suitable project partners are a required component of the Demonstration Partnership Program, and are critical to the kind of service concentration and systemic change envisioned by OCS. Project partners should have skills, resources, and experience that complement those of the applicant, so that the partnership is stronger than its individual parts. Applicants should use this section to identify their project partners, describe the roles that they have agreed to play, and document that at least 50% of the required match will be provided by these partners through the delivery of specific services or resources to the target population.

The application should include, in an appendix, commitment letters from, or Partnership Agreements with these proposed partners signed by the executive of the partnering entity. These documents should describe the role of the partner in the project, including the relevant skills of the partner, the services to be provided, and the resources and levels of effort to be provided to the project.

Applicants should use no more than 2 pages for this proposal element (plus the Partnership Agreement(s) in the Appendix).

Element IV. Project Management and Organization

(Weight of 0 to 10 points in the proposal review.)

[This element should be the same as Element V under Priority Areas 1.0 and 4.0 and should take no more than 2 pages of the Project Narrative]

Element V. Project Budget

(Weight of 0–5 points in the proposal review.)

Applicants will be required to submit Federal budget forms with their proposals to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (424A). In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Narrative, or explanatory budget information. This Budget Narrative is not considered a part of the Project Narrative, and does not count as part of the twenty pages; but rather is included in the application following the budget forms.

The budget narrative should briefly explain the adequacy of the Federal and match funds to accomplish project purposes, should explain the source and nature of matching funds, and should identify and briefly explain any imbalances between level of activities undertaken and project funds expended.

Resources in addition to the required matching amounts are encouraged by OCS, both to augment project resources and to strengthen the basis for continuing partnerships to benefit the target community. The amounts of such resources beyond the required match, their appropriateness to the project design, and the likelihood that they will continue beyond the project time frame will be taken into account in judging the application.

For replication projects under Priority Area 2.0 the budget and budget narrative must include provision for the costs of site visits/apprenticeships pursuant to the arrangements between the applicant and the Host Project, as well as for appropriate consulting fees for staff of the Host Project as provided in the Memorandum of Understanding or Letter of Agreement between the parties.

Although as noted, the Budget Narrative does not count against the twenty page limitation on the Project Narrative, applicants should use no more than two or three pages for this proposal element (not including the federal budget forms).

Element VI. Project Evaluation

(Weight of 0–10 points in the proposal review.)

[This element should be the same as Element VII under Priority Areas 1.0 and 4.0, and should not use more than 3 pages of the Project Narrative.]

Element VII. Significant and Beneficial Impact

(Weight of 0–10 points in the proposal review.)

[This element should be the same as Element VIII under Priority Areas 1.0

and 4.0, and should not use more than 1 page of the Project Narrative.]

Element VIII. Community Empowerment Consideration

(Weight of 0–5 points in proposal review.)

[This element should be the same as Element IX under Priority Areas 1.0 and 4.0, and should not use more than 1 page of the Project Narrative.]

*C. Program Elements, Review and Assessment Criteria for Applications for EZ/EC Continuous Improvement Grants Under Priority Area 3.0*

Element I. Organizational Experience and Capability

(Weight of 0 to 10 points in proposal review.)

[This element should be the same as under Priority Areas 1.0 and 4.0, and should take no more than 2 pages of the Project Narrative.]

Element II. Relationship to EZ/EC Strategic Planning Process

(Weight of 0–25 points in proposal review.)

Applicants should describe the part they played in the development of the community's EZ/EC Strategic Plan, and provide evidence of a continuing collaborative relationship with the public and private agencies which took part in the planning process. The OCS review process will give the highest scores to applicants who can show that they were intimately involved in the development of the Strategic Plan and will be active participants in its implementation. Letters of support from involved community agencies may be included in the appendix to the proposal to support applicant's role in the process.

[Applicant should use no more than 3 pages for this proposal element, plus any support letters included in the appendix.]

Element III. Project Goals, Activities, and Work Plan

(Weight of 0–25 points in proposal review.)

In this element the applicant should:

(1) Define its goals in relation to the Strategic Plan implementation, the involvement of low income residents, and the collection of data concerning both the implementation process and the impact of programs carried out as part of the Strategic Plan;

(2) Describe the activities it is proposing to carry out which it expects will lead to the achievement of these goals; and

(3) Present the highlights of a work plan briefly describing the key project tasks and showing the timelines and major milestones for their implementation.

Applicant should use no more than 4 pages for this proposal element.

#### Element IV. Partnerships

(Weight of 0–15 points in proposal review.)

Suitable project partners are a required component of the Demonstration Partnership Program, and are critical to the kind of involvement by the applicant in the community's Strategic Plan implementation which is envisioned by OCS. Project partners should also have important roles in the community, and should have skills, resources, and experience that complement those of the applicant. Applicants should use this section to identify their project partners, describe the roles that they have agreed to play, and document that at least 50% of the required match will be provided by these partners through the provision of specific services or resources to the project.

The application should include, in an Appendix, commitment letters from these proposed partners signed by the executive of the partnering entity, and briefly describing the role of the partner in the project, including the relevant skills of the partner, and the resources and levels of effort to be provided to the project.

Applicants should use no more than 3 pages for this proposal element (plus the partnership letter(s) in the Appendix).

#### Element V. Project Management and Organization

(Weight of 0–15 points in proposal review.)

Applicants should identify the Project Director and other key staff they feel are especially important to the success of the project, and include resumes as an appendix to the proposal. Where the staff members have not been identified, position descriptions should be included in the appendix. Applicants should also, in this section, describe (and diagram if necessary) the organization of the project. The relationships among the Project Director and the key officials in the applicant and partnering organizations should be depicted, and the project related authorities and responsibilities of these key actors should be made clear.

Applicants should use no more than 2 pages for this proposal element (plus the resumes and/or position descriptions in the appendix).

#### Element VI. Project Budget

(Weight of 0–10 points in the proposal review.)

Applicants will be required to submit Federal budget forms with their proposals to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (424A). In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Narrative, or explanatory budget information. This Budget Narrative is not considered a part of the Project Narrative, and does not count as part of the twenty pages; but rather is included in the application following the budget forms.

The budget narrative should briefly explain the adequacy of the Federal and match funds to accomplish project purposes, and should explain the source and nature of matching funds.

Although as noted, the Budget Narrative does not count against the twenty page limitation on the Project Narrative, applicants should use no more than one or two pages for this proposal element (not including the federal budget forms).

#### Part V. Application Procedures

##### A. Availability of Forms

Attachments D through J contain all of the standard forms necessary for the application for awards under this OCS program. These attachments and Parts VI and VII of this Notice contain all the instructions required for submittal of applications.

Additional copies of this Announcement may be obtained by writing or telephoning the office listed under the section entitled **FOR FURTHER INFORMATION CONTACT** at the beginning of this announcement. In addition, it is accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1–800–627–8886. For assistance in accessing the Bulletin Board, a *Guide to Accessing and Downloading* is available from Ms. Minnie Landry at (202) 401–5309.

##### B. Application Submission

1. *Number of Copies Required.* One signed original application and four copies should be submitted. (Approved by the Office of Management and Budget under Control Number 0970–0062.)

2. *Acknowledgment of Receipt.* All applicants will receive an acknowledgement 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. The assigned identification number, along with any other identifying codes, must be referenced in all subsequent communications concerning the application. If an acknowledgement is not received within three weeks after the deadline date, please notify ACF by telephone at (202) 401–9365.

3. *Deadlines:* The closing date for receipt of applications is June 12, 1995. To be considered as meeting the deadline, applications must be received before 4:30 p.m. EDST on the deadline date at the ACF Office of Financial Management, Division of Discretionary Grants, 6th Floor OFM/DDG, 370 L'Enfant Promenade, SW, Washington, DC 20447.

4. *Applications Submitted by Other Means.* Applications which are not submitted in accordance with the above criteria shall be considered as meeting the deadline only if they are physically received before the close of business on or before the deadline date. Hand delivered applications will be accepted at the ACF Office of Financial Management, Division of Discretionary Grants, 6th Floor ACF Guard Station, 901 D Street, SW, Washington, DC during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday.

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

6. *Extension of Deadline.* ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc. or when there is a 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.

##### C. 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, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia,

Washington, American Samoa and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs).

Applicants from these nineteen jurisdictions need take no action regarding E.O. 12372. All other applicants should contact their SPOC as soon as possible to alert them of the prospective application and to 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. These comments are reviewed as part of the award process. Failure to notify the SPOC can result in a delay in grant award.

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations. Additionally, SPOCs are requested to differentiate clearly between mere advisory comments and those official State process recommendations which they intend to trigger the "accommodate or explain" rule under 45 CFR 100.10. It is helpful in tracking SPOC comments if the SPOC will clearly indicate the applicant organization as it appears on the application SF-424.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Office of Financial Management, Division of Discretionary Grants, 6th Floor, 370 L'Enfant Promenade, SW, Washington, DC 20447. A list of the Single Points of Contact for each State and Territory is included at Attachment L to this announcement.

#### *D. Application Consideration*

Applications which meet the screening requirements in Section E below will be reviewed competitively. Such applications will be referred to reviewers for a numerical score and explanatory comments based solely on responsiveness to the Legislative Authority, the Priority Areas outlined in Part III, and the Application Elements and Review Criteria set forth in Part IV of this Announcement.

Applications will be reviewed by persons outside of the OCS unit which will be directly responsible for 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 will be considered in rank order of the averaged scores. However, highly ranked applications are not guaranteed funding since other factors are taken into consideration, including: The timely and proper completion of projects funded with OCS funds granted in the last (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 OCS or other Federal agency grants.

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

#### *E. Criteria For Screening Applications*

##### *1. 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:

a. 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 Part VI and Attachment D to this Announcement.

b. A project narrative must also accompany the standard forms, and must be limited to no more than twenty (20) pages, typewritten on one side of the paper only, in type no smaller than 12 c.p.i., 11 point, or equivalent, with margins no less than one inch. Charts, exhibits, letters of support, cooperative agreements, resumes and position descriptions are not counted against this page limit and should be included in the appendices to the proposal. It is strongly recommended that you follow the format for the narrative discussed in Part IV, Application Elements and Review Criteria.

c. 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.

##### *2. Pre-Rating Review*

Applications which pass the initial screening will be forwarded to OCS staff prior to the programmatic review to verify that the applications comply with this program announcement in the following areas:

a. **Eligibility:** Applicant is an "eligible entity" as defined in Part I, Section C. In order to establish eligibility, the application must contain a letter signed by the State Director of the Community Services Block Grant program certifying that the applicant is an "eligible entity" as defined by this program announcement and that it has the capacity to operate the proposed project.

Applicants must also be aware that the applicant's legal name as required on the SF-424 (Item 5) must match that listed as corresponding to the Employer Identification Number (Item 6).

b. **Grant Amount:** The amount of funds requested does not exceed \$350,000 in OCS funds for general or replication projects under Priority Areas 1.0 and 2.0 (other than an application for replication of the Step-Up Young Father Mentor Program in Phoenix, AZ, which may request up to \$500,000); does not exceed \$50,000 for EZ/EC Continuous Improvement projects under Priority Area 3.0; or does not exceed \$500,000 for Urban Youth projects under Priority Area 4.0.

c. **Matching Funds:** The required match has been firmly committed in the form of letters of commitment or intent to commit the required matching funds contingent only upon receipt of OCS funds. Such letters must be included as appendices to the application.

d. **Target Populations:** The application clearly serves low-income participants and beneficiaries as defined in Part II, Section E.

e. **Partnership Agreements:** Partnership arrangements have been briefly described in the application and a copy of the partnership agreement(s) describing the partnership arrangements and containing a letter of commitment or intent to commit from the prospective partner(s), contingent only upon receipt of OCS funds, has been included in the appendix.

f. **Project Evaluation:** The outline of a third-party project evaluation plan is an element of the application, and includes a commitment to the selection of a third party evaluator approved by OCS and to completion of a final evaluation design and plan in collaboration with the approved evaluator and the OCS Evaluation Technical Assistance Contractor during the six-month start-up

period. A resume or position description of the evaluator should be included in the appendix.

g. Replication Project (Priority Area 2.0) only: The proposed project will be operated in a geographic area other than that in which the project being replicated (Host Project) was carried out, and arrangements for site visits/apprenticeships between the applicant and the Host Project are reflected in the proposal narrative and budget.

An application may be disqualified from the competition and returned if it fails to conform to one or more of the above requirements.

#### Part VI—Instructions for Completing Application Forms

(Approved by the Office of Management and Budget under Control Number 0970-0062.)

The standard forms attached to this announcement shall be used when submitting applications for all funds under this announcement. It is suggested that you reproduce single-sided copies of the SF-424, SF-424A, and SF-424B, and type your application on the copies. Please prepare your application in accordance with instructions provided on the forms as well as with the OCS specific instructions set forth below:

##### A. SF-424—Application for Federal Assistance

Top of Page. Please enter the single priority area number under which the application is being submitted. An application should be submitted under only one priority area.

Item 1. For the purposes of this announcement, all projects are considered *Applications*. Also for the purposes of this announcement, there are no construction projects.

Item 2. *Date Submitted* and *Applicant Identifier*—Date application is submitted to ACF and applicant's own internal control number, if applicable.

Item 3. *Date Received by State*—N/A.

Item 4. *Date Received by Federal Agency*—Leave blank.

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 (CRS/EIN) and the Payment Identifying Number, 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*.

Item 8. *Type of Application*—Please check the type of application.

Item 9. *Name of Federal Agency*—Enter DHHS/ACF/OCS

Item 10. *The Catalog of Federal Domestic Assistance Number* for OCS programs covered under this announcement is 93.573. The title is *Community Services Block Grant Discretionary Awards—Demonstration Partnership Program*.

Item 11. *Descriptive Title of Applicant's Project*—Enter the project title (a brief descriptive title). The following letter designations must be used:

General Projects: *DP*  
Replication Projects: *DR*  
EZ/EC Continuous Grants: *DE*  
Urban Youth: *DY*

Item 12. *Areas Affected by Project*—List only the larger unit or units affected, such as State, county or city.

Item 13. *Proposed Project*—Enter the desirable starting date for the project (start of start-up) and the proposed completion date. Projects may not exceed the maximum duration specified: 36 months for all Applications (including up to 6 months start-up, a 24 months operational period and 6 months for evaluation).

Item 14. *Congressional District of Applicant/Project*—Enter the number of the Congressional District where the applicant's principal office is located and the number(s) of the Congressional district(s) where the project will be located.

Item 15a–e. *Estimated Funding*: Enter the amounts requested or to be contributed by Federal and non-Federal sources for the total project period. Items b, c, d and e should reflect both cash and third-party, in-kind contributions for the total project period.

Item 15f. N/A

Item 15g. Enter the sum of Items 15a–15e.

##### B. SF-424A—Budget Information-Non-Construction Programs

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

In completing these sections, the *Federal Funds* budget entries will relate to the requested OCS Demonstration Partnership Program funds only, and *Non-Federal* will include mobilized funds from all other sources—applicant, state, and other. Federal funds other than those requested from the Demonstration Partnership Program should be included in *Non-Federal* entries.

Sections A and D of SF-424A must contain entries for both Federal (OCS) and non-Federal (matching) funds for the entire project period. Section B contains entries for Federal (OCS) funds only.

##### Section A—Budget Summary

Lines 1–4

Col. (a):

Line 1—Enter *OCS Demonstration Partnership Program*:

Col. (b):

Line 1—*Catalog of Federal Domestic Assistance Number is 93.573*.

Col. (c) and (d): Not Applicable

Column (e)—(g)

Line 1–4. Enter in columns (e), (f) and (g) the appropriate amounts needed to support the entire project period.

Line 5—Enter the figures from Line 1 for all columns completed, (e), (f), and (g).

##### Section B—Budget Categories

This Section should contain entries for OCS funds only.

Please note: This information supersedes the instructions provided following the SF-424A.

*Enter in Column 1:* the amounts covering the first 12 months of the project (including any start-up period).

*Enter in Column 2:* the amounts covering the second twelve months of the project.

*Enter in Column 3:* the amounts covering the third twelve months of the project (including the six-month evaluation period).

*Under Column (5)* enter the total funds requested by the Object Class Categories of this section (6a–6j).

Allocability of costs are governed by applicable cost principles set forth in 45 CFR parts 74 and 92.

Budget estimates for administrative costs (*not to exceed 10 percent of the grant amount*) must be supported by adequate detail for the grants officer to perform a cost analysis and review. Adequately detailed calculations for each object class are those which reflect estimation methods, quantities, unit costs, salaries, and other similar quantitative detail sufficient for the calculation to be duplicated. For any additional object class categories included under the object class *Other*, identify the additional object class(es) and provide supporting calculations.

Supporting narratives and justifications are required for each budget category, with emphasis on unique/special initiatives, large dollar amounts; local, regional, or other travels, new positions, major equipment purchases and training programs as indicated below:

Object Class Categories—Line 6: Enter the total amount of Federal funds required by the Object Class Categories of this section.

Personnel—Line 6a. Enter the total costs of salaries and wages.

#### *Justification*

Identify the principal investigator or project director, if known. Specify by title or name the percentage of time allocated the project, the individual annual salaries, and the cost to the project of the organization's staff who will be working on the project.

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.

#### *Justification*

Provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, taxes, etc.

Travel—Line 6c: Enter total costs of all travel by employees of the project. Travel costs to attend two national workshops in Washington, DC by the project director should be included (see Part VIII). Do not enter costs for consultant's travel.

#### *Justification*

Include the total number of traveler(s), total number of trips, destinations, number of days, transportation costs and subsistence allowances.

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

#### *Justification*

Only equipment required to conduct the project may be purchased with Federal funds. The applicant organization or its subgrantees must not already have such equipment, or a reasonable facsimile, available for use in the project. The justification also must contain plans for future use or disposal of the equipment after the project ends.

Supplies—Line 6e: Enter the total costs of all tangible personal property (supplies) other than that included on line 6d.

#### *Justification*

Specify general categories of supplies and their costs.

Contractual—Line 6f: Enter the total costs of all contracts, including the estimated cost of a third-party

evaluation contract. Travel costs for the chief evaluator to attend two national workshops in Washington, DC should be included (see Part VIII). OCS' experience with this program has shown that a quality evaluation contract can be purchased for 8%—10% of the OCS grant funds. [This percentage is a guide for the applicants' use in planning its request for procurement and should not be construed as a minimum nor maximum allowable amount.]

#### *Justification*

Attach a list of contractors, indicating the names of the organizations, the purposes of the contracts, the estimated dollar amounts, and selection process of the awards as part of the budget justification. Also provide back-up documentation identifying the name of contractor, purpose of contract, and major cost elements.

Note: Whenever the applicant/grantee intends to delegate part of the program to another agency, thus entering into an interagency agreement, 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 draft Request for Proposal in accordance with 45 CFR part 74. Free and open competition is encouraged for any procurement activities planned using ACF grant funds. Prior approval from OCS is required when applicants anticipate evaluation procurements that will exceed \$25,000 and are requesting an award without competition.

The applicant's procurement procedures should outline the type of advertisement appropriate to the nature and anticipated value of the contract to be awarded. Advertisements are typically made in city, regional, and local newspapers; trade journals; and/or through announcements by professional associations.

Construction—Line 6g: Construction costs are not permitted under the Demonstration Partnership Program.

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 (non-contractual), 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.

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 generally should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or other Federal agencies. With the exception of local governments, 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 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 also be charged as direct costs to the grant. 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).

Totals—Line 6k: Enter total amounts of lines 6i and 6j.

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.

#### *Justification*

Describe the nature, source and anticipated use of program 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. Provide a brief explanation, on a separate sheet, showing the type of contribution, broken out by Object Class Category, (see Part VI, B, SF-424A, Section B, Line 6) and whether it is cash or third-party in-kind. The firm commitment of these required funds must be documented and submitted with the application in order to be given credit in the partnerships' criterion.

Except in unusual situations, this documentation must be in the form of letters of commitment or intent to commit contingent only upon receipt of OCS funds from the organization(s) and/or individuals from which funds will be received.

#### Justification

Describe all non-Federal resources including third-party, cash and/or in-kind contributions.

Grant Program-Line 8. Grant Program. Column (a): Enter the project title.

Column (b): Enter the amount of cash or donations to be made by the applicant.

Column (c): Enter the State contribution.

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

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

Grant Program-Lines 9, 10, and 11 should be left blank.

Grant Program-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

Federal-Line 13. Enter the amount of Federal (OCS) cash needed for this grant, by quarter, during the first year.

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

Total-Line 15. Enter the total of Lines 13 and 14.

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

Not Applicable.

#### Section F—Other Budget Information

Direct Charges-Line 21. Include a narrative justification for each Object Class Category required under Section B for the *total project period*. This narrative justification should be on a separate page and should immediately follow the SF-424A in the application package.

Indirect Charges-Line 22. Enter the type of HHS or other Federal agency's 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 and attach a copy of the rate agreement if negotiated with an agency other than the Department of Health and Human Services.

Remarks-Line 23. Please provide any other explanations and/or continuation

sheets required or deemed necessary to justify or explain the budget information.

#### C. SF-424B Assurances-Non-Construction

All applicants must fill out, sign, date and return the *Assurances* (see Attachment D) with the application.

#### Part VII—Contents of Application

Each application submission should include *a signed original and four additional copies of the application. Pages should be numbered sequentially throughout the application package, beginning with the Proposal Abstract as page number one, and each application must include all of the following, in the order listed below:*

1. An Abstract of the proposal—very brief, on one page, not to exceed 250 words, which identifies the type of project, the target population, the partner(s), and the major elements of the work plan, and that would be suitable for use in an announcement that the application has been selected for a grant award;

2. Table of Contents;

3. A completed Standard Form 424 which has been signed by an official of the organization applying for the grant who has authority to obligate the organization legally; [Note: The original SF-424 must bear the original signature of the authorizing representative of the applicant organization];

4. *Budget Information-Non-Construction Programs* (SF-424A);

5. A narrative budget justification for each object class category required under Section B, SF-424A;

6. Filled out, signed and dated *Assurances—Non-Construction Programs* (SF-424B), Attachment D;

7. Attachments E and F, setting forth the Federal requirements concerning the drug-free workplace and debarment regulations with which the applicant is certifying that it will comply, by signing and submitting the SF-424.

8. *Certification Regarding Environmental Tobacco Smoke*

9. *Restrictions on Lobbying—Certification for Contracts, Grants, Loans, and Cooperative Agreements*: fill out, sign and date form found at Attachment H;

10. *Disclosure of Lobbying Activities, SF-LLL*: Fill out, sign and date form found at Attachment I, if appropriate;

11. A *project narrative*, limited to no more than twenty (20) pages, which includes *all* of the elements described in Part IV, according to the project Priority Area:

[Specific information/data required under each component is described in

Part IV Application Elements and Review Criteria.]

The total number of pages for the narrative portion of the application package must not exceed 20 pages, excluding Appendices. Typewritten on one side of the paper only, in type no smaller than 12 c.p.i., 11 point, or equivalent, with margins no less than one inch. Pages should be numbered sequentially throughout the application package, excluding Appendices, beginning with the Abstract as Page #1.

12. Appendices, including Maintenance of Effort Certification (See Attachment J); letter signed by State CSBG Director; partnership agreements signed by the partners; statement regarding the date of incorporation; Single Point of Contact comments, if applicable and available; resumes and/or position descriptions; a Business Plan if appropriate or required (see Program Sub-Element IIb); Certification Regarding Lobbying, if appropriate; and letters of match commitment or letters of intent.

The application may also contain letters that show collaboration or substantive commitments to the project by organizations other than partners with committed match. Such letters are not part of the narrative and should be included in the Appendices. These letters are, therefore, not counted against the twenty page limit.

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 8½ × 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. The applications should be two-hole punched at the top center and fastened separately with a compressor slide paper fastener, or a binder clip. The submission of bound applications, or applications enclosed in binders is specifically discouraged.

Attachment M provides a checklist to applicants in preparing a complete application package.

#### Part VIII—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 project and budget periods for



which support is provided, the terms and conditions of the award, the total project period for which support is contemplated, and the total required financial grantee participation.

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

Project directors and chief evaluators will be required to attend a national DPP evaluation workshop in Washington, DC which will be scheduled shortly after the effective date of the grant, during the 6-month start-up period. They also will be required to attend, as presenters, a workshop on utilization and dissemination to be held after the end of the project period.

Grantees will be required to submit semi-annual progress and financial reports (SF 269) throughout the project period, as well as a final progress and financial report within 90 days of the termination of the project. An interim evaluation report, along with the written policies and procedures resulting from the process evaluation, will be due 30 days after the first twelve months of the project period and a final evaluation report will be due 90 days after the expiration of the grant. These reports will be submitted in accordance with instructions to be provided by OCS, and will be the basis for the dissemination effort to be conducted by the Office of Community Services.

Grantees are subject to the audit requirements in 45 CFR parts 74 (non-governmental), 92 (governmental), OMB Circular A-133 and OMB Circular A-128.

Section 1352 of Pub. L. 101-121, signed into law on October 23, 1989, imposes new prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. It provides exemptions for Indian tribes and tribal organizations. Current and prospective recipients (and their subtier contractors and/or grantees) are prohibited from using Federal funds, other than profits from a Federal contract, 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 subtier contractors and/or subgrantees (1) to certify that they have neither used nor will use any appropriated funds for payment to lobbyists; (2) to disclose the name, address, payment details, and purpose of any agreements with lobbyists whom

recipients or their subtier contractors or subgrantees will pay with profits or *nonappropriated* funds on or after December 22, 1989 and (3) to file quarterly up-dates about the use of lobbyists if material changes occur in their use. The law establishes civil penalties for noncompliance. See Attachments H and I for certification and disclosure forms to be submitted with the applications for this program.

Attachment K indicates the regulations which apply to all applicants/grantees under the Demonstration Partnership Program.

Dated: April 4, 1995.  
Donald Sykes,

Director, Office of Community Services.

#### Attachment A

#### Environmental Justice and Sustainable Community Development

Environmental Justice and Sustainable Community Development are terms that have come into common usage only recently, with the growing realization that low income and minority people and communities have long suffered inequitable and life- and health-threatening environmental degradation. A 1987 report by the Commission for Racial Justice of the United Church of Christ, *Toxic Waste and Race in the United States*, concluded that race has been a factor in the locating of commercial hazardous waste facilities in the United States, and that the clean-up of uncontrolled toxic waste sites in Black and Hispanic communities should be given the highest possible priority. The findings of this report were confirmed by the Environmental Protection Agency in its own study: *Environmental Equity: Reducing Risks For All Communities*, Vols. I and II, U.S. EPA, June 1992. *Toxic Waste and Race Revisited*, Center for Policy Alternatives, 1994, a study co-sponsored by the Center for Policy Alternatives, the NAACP, and the United Church of Christ Commission for Racial Justice, using data updated to 1993 from the 1990 U.S. Census, found that "Despite growing national attention to the issue of 'environmental justice', people of color today are even more likely than whites to live in communities with commercial hazardous waste facilities than they were a decade ago. The disproportionate environmental impacts first identified and documented in the 1987 report \* \* \* have grown more severe."

A study by the National Law Journal published in 1992 included among many of its findings that over the previous ten years EPA fines against polluters, on average for all types of

cases, were 54 percent lower in poor neighborhoods than in wealthy communities; and in the case of violators of RCRA (the Resource Conservation and Recovery Act) which is the law that governs hazardous waste sites, violators in minority communities were fined on average one-fifth the amounts of violators in white areas. EPA's Office of Environmental Justice reports that as a result of both these studies the agency is currently carrying out a comprehensive demographic study, based on 1990 census data, of EPA enforcement and toxic waste sites.

On a related and equally critical front, a Public Health Service Report to the Congress in 1988 stated that 55 percent of Black children below the poverty level have toxic levels of lead in their blood whose permanent effects include reduced intellectual function, aggressive behavior, hearing loss and growth impairment. Since that time the Centers for Disease Control have significantly lowered the threshold for the blood-lead levels that they consider toxic. See: *Preventing Lead Poisoning in Young Children*, A Statement By The Centers For Disease Control—October 1991, U.S. Department of Health and Human Services, Public Health Service.

While the environmental consciousness of many civil rights leaders is thus being raised, many low income and minority persons and communities still see environmental concerns and laws aimed at protecting the environment as roadblocks to their economic advancement, keeping needed jobs out of their communities or causing businesses to move or retrench because of the perceived high costs of practices and safeguards which are required as measures to protect the environment. What they often have not understood is the degree to which they are being subjected to life- and health-threatening conditions such as illegal dumping of toxics, indiscriminate use of pesticides, or homes laden with asbestos, lead, and Radon, and that these very conditions cause physical and mental deterioration of residents and the breakdown of community infrastructure. For low income and minority communities are often contaminated to the point that it presents a serious barrier to economic revitalization. For example, EPA's Office of Solid Waste and Emergency Response (OSWER) reports that Cleveland Tomorrow, that city's forward looking Chamber of Commerce, has after extended study concluded that the "economic rebirth" of Cleveland will never happen until the clean-up of contaminated sites in that city has been accomplished.

Nor has there been until recently a realization that these same environmental justice issues offer unprecedented opportunities for the creation of long term, well paid jobs with career potential in work that can be meaningful and satisfying in terms of human needs. On February 11, 1994 President Clinton issued Executive Order 12898: "Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations", calling on each Federal Department and Agency to "develop an agency-wide environmental justice strategy \* \* \* that identifies and addresses disproportionately high and adverse human health or environmental effects of its programs \* \* \*". The Draft Environmental Justice Strategy of the Department of Health and Human Services includes the following Strategy:

\*Make the development and support of community-based projects that create environmentally-related jobs and career opportunities for low-income and minority residents a high priority for all the Department's programs that deal with job training, job and economic development, job support services and welfare reform.

By the same token, there is a growing realization that long term survival on the planet will only be possible if we develop a sustainable economy which husbands resources and eliminates waste. The President's Council on Sustainable Development (PCSD) was established by President Clinton and charged with a mandate to develop specific policy recommendations for a national strategy for sustainable development that can be implemented by the public and private sectors.

The Council has written: "\* \* \* sustainable development means a program of domestic economic and political reform that \* \* \* yields broad-based economic progress accomplished in a manner that protects and restores the quality of the natural environment, improves the quality of life for individuals and broadens the prospects for future generations. It means, in other words, maintaining economic growth while producing the absolute minimum of pollution, repairing the environmental damages of the past, using far fewer non-renewable resources, producing much less waste, and extending the opportunity to live in a pleasant and healthy environment to the whole population."

The Council's Sustainable Communities Task Force suggests that: "General principles of community sustainability include social equity, racial justice, population stabilization, improved quality of life, participation of stakeholders invested in the outcome, elimination of waste, reduced consumption, encouragement of local self-reliance, recognition of local ecosystem assets and limitations, urban rehabilitation and clean-up, and improved public health."

Applicants seeking to identify additional resources and/or persons within their communities who can provide guidance and expertise in the areas of environmental justice and sustainable community development may wish to contact one of the following offices for information and assistance:

Sustainable Communities Task Force, President's Council on Sustainable Development, 730 Jackson Place NW., Washington, DC 20503, Contact: Angela Park (202) 408-5342, Information on local and national organizations involved with Sustainable Community Development.

Rural Development Administration, U.S. Department of Agriculture AG 3202, Washington, DC 20250-3202, Contacts: Stanley Zimmerman, (202) 690-2514, szim@rurdev.usda.gov, Information and resources on Rural Economic and Community Development.

Cooperative State Research Service, U.S. Department of Agriculture, 370 L'Enfant Promenade, SW., 3rd Floor, Washington, DC 20250-2260, Contact: Dr. Dan Kugler (202) 401-6861, Deputy Administrator for Special Programs, Information on New Uses and Markets for Agricultural Products, Sustainable Agriculture, and Aquaculture.

Office of Community Planning and Development, HUD, 451 7th Street SW., Room 7244, Washington, DC 20410, Contact: Andy Euston, Leader for Sustainable Community Development Explorations (202) 708-1911, Information on Sustainable Community Development; referral to local and regional resources.

Office of Assistant to the Secretary for Labor Relations, HUD, 451 7th Street SW., Room 7118, Washington, DC 20410, Contact: Richard S. Allan, Deputy Assistant, (202) 708-0370, Information on training for lead abatement and toxic materials, handling and disposal, and Project Step-Up.

Office of Lead Paint Abatement and Poisoning Prevention, HUD, 451 7th Street SW., Room B133, Washington, DC 20410, Contact: Dorothy Allen (202) 755-1771, Information on funded lead abatement projects and resources and T/TA available.

Regional and State Planning Branch, Office of Policy Planning and Evaluation, U.S. Environmental Protection Agency, 401 M Street SW., Washington, DC 20460, Contact: Deborah Martin, Branch Chief, (202) 260-2729, Environmental planning

and assistance in understanding and assessing environmental risks. Energy-Efficiency and Renewable Energy Clearinghouse, U.S. Department of Energy, Write: EREC, PO Box 3048, Merrifield, VA 22116, Call Toll-Free: 1-800-523-2929, Publications, source lists, bibliographies; detailed technical responses on energy efficiency and renewables; business assistance, referrals to associations, labs, state energy offices, and special interest groups.

Attachment B: Outline of Business Plan

The Business Plan should include the following:

1. *The business and its industry.* This section should describe the nature and history of the business and provide some background on its industry.

a. *The Business:* as a legal entity; the general business category;

b. *Description and Discussion of Industry:* Current status and prospects for the industry;

2. *Products and Services:* This section deals with the following:

a. *Description:* Describe in detail the products or services to be sold;

b. *Proprietary Position:* Describe proprietary features of any of the products, e.g. patents, trade secrets; and

c. *Potential:* Features of the product or service that may give it an advantage over the competition.

3. *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;

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

b. *Market Size and Trends:* State the size of the current total market for the product or service offered;

c. *Competition:* An assessment of the strengths and weaknesses of competitive products and services;

d. *Estimated Market Share and Sales:* Describe the characteristics of the product or service that will make it competitive in the current market.

4. *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.

5. *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.

6. *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.

7. *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.

8. *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.

9. *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.

10. *Community Benefits:* The proposed project must contribute to economic, community and human

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 JOBS program will be developed. The following project benefits must be described:

*Economic*

- Number of permanent jobs that will be created for low-income people during the grant period;
- Number of jobs to be created for low-income people that will have career development opportunities and a description of those jobs;
- Number of jobs that will be filled by individuals on public assistance;
- Ownership opportunities created for poverty-level project area residents;
- Specific steps to be taken to promote the self-sufficiency of program participants.

Other benefits which might be discussed are:

*Human Development*

- New technical skills development and associated career opportunities for community residents;
- Management development and training.

*Community Development*

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

11. *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:

- a. Profit and Loss Forecasts-quarterly for each year;
- b. Cash Flow Projections-quarterly for each year;
- c. Pro forma balance sheets-quarterly for each year;

- d. Initial sources of project funds;
- e. Initial uses of project funds; and
- f. Any future capital requirements and sources.

ATTACHMENT C

Size of family unit	Poverty guideline
<b>1995 Poverty Income Guidelines for All States (Except Alaska and Hawaii) and the District of Columbia</b>	
1 .....	\$7,470
2 .....	10,030
3 .....	12,590
4 .....	15,150
5 .....	17,710
6 .....	20,270
7 .....	22,830
8 .....	25,390

For family units with more than 8 members, add \$2,560 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

**Poverty Income Guidelines for Alaska**

1 .....	9,340
2 .....	12,540
3 .....	15,740
4 .....	18,940
5 .....	22,140
6 .....	25,340
7 .....	28,540
8 .....	31,740

For family units with more than 8 members, add \$3,200 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

**Poverty Income Guidelines for Hawaii**

1 .....	8,610
2 .....	11,550
3 .....	14,490
4 .....	17,430
5 .....	20,370
6 .....	23,310
7 .....	26,250
8 .....	29,190

For family units with more than 8 member, add \$2,940 for each additional member. (The same increment applies to smaller family sizes also, as can be seen in the figures above.)

ATTACHMENT D  
**APPLICATION FOR  
 FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

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

  

<b>5. APPLICANT INFORMATION</b>	
Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)
6. EMPLOYER IDENTIFICATION NUMBER (EIN): [ ][ ] - [ ][ ][ ][ ][ ][ ][ ][ ][ ]	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State                                  H. Independent School Dist. B. County                                 I. State Controlled Institution of Higher Learning C. Municipal                              J. Private University D. Township                               K. Indian Tribe E. Interstate                              L. Individual F. Intermunicipal                         M. Profit Organization G. Special District                        N. Other (Specify): _____
8. TYPE OF APPLICATION: <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): _____	9. NAME OF FEDERAL AGENCY:
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: [ ][ ][ ][ ] - [ ][ ][ ][ ][ ] TITLE:	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):	

  

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

  

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																																																	
<table style="width:100%; border-collapse: collapse;"> <tr><td style="width:15%;">a. Federal</td><td style="width:5%;">\$</td><td style="width:25%;"></td><td style="width:5%;"></td><td style="width:5%;"></td><td style="width:5%;"></td><td style="width:40%; text-align: right;">.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.00</td></tr> <tr><td>c. State</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.00</td></tr> <tr><td>d. Local</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.00</td></tr> <tr><td>e. Other</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.00</td></tr> <tr><td>g. TOTAL</td><td>\$</td><td></td><td></td><td></td><td></td><td style="text-align: right;">.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	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372  <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$					.00																																												
b. Applicant	\$					.00																																												
c. State	\$					.00																																												
d. Local	\$					.00																																												
e. Other	\$					.00																																												
f. Program Income	\$					.00																																												
g. TOTAL	\$					.00																																												

  

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
<input type="checkbox"/> Yes    If "Yes," attach an explanation.	<input type="checkbox"/> No

  

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED		
a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

Previous Editions Not Usable

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

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## Instructions for the SF 424

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

## Item and Entry

1. Self-explanatory.
2. Date application submitted by 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.
6. 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 applicants' office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**BILLING CODE 4184-01-M**

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					
	(1)	(2)	(3)	(4)	Total (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	\$	\$	\$	\$	\$	

Standard Form 424A (4-86)  
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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	\$
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year				4th Quarter
	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
13. Federal	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:					
22. Indirect Charges:					
23. Remarks					

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## Instructions for the SF-424A

*General Instructions*

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

*Section A. Budget Summary*

Lines 1-4, Columns (a) and (b)

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

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

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

Lines 1-4, Columns (c) Through (g)

For new applications, leave Column (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 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 Column (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 amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

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

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

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agency 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 of Column (e)

should be equal to the amount on Line 5, Column (f), Section A.

*Section D. Forecasted Cash Needs*

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

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

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

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

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

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

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

*Section F. Other Budget Information*

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

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

Line 23—Provide any other explanations or comments deemed necessary.

*Assurances—Non-Construction Programs*

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will



establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personnel or organizational conflict of interest, or personal gains.

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 of a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd–3 and 290ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or refinancing 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.O. 91–646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a–7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93–234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g)

protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93–205)

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers systems.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a–1 et seq.).

14. Will comply with P.L. 93–348 regarding the protection of human subjects involved in research, development, and related activities supported by this award assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89–544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

\_\_\_\_\_  
Signature of authorized certifying official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Applicant organization

\_\_\_\_\_  
Date submitted

**BILLING CODE 4184-01-M**

ATTACHMENT E

**U.S. Department of Health and Human Services**  
**Certification Regarding Drug-Free Workplace Requirements**  
**Grantees Other Than Individuals**

**By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios.)

If the workplace identified to HHS changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see above).

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 USC 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15).

"Conviction" means a finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**The grantee certifies that it will or will continue to provide a drug-free workplace by:**

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and, (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and, (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or, (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantees may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments, if needed):

Place of Performance (Street address, City, County, State, ZIP Code) \_\_\_\_\_

Check  if there are workplaces on file that are not identified here.

Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central receipt point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C. 20201.

DGMO Form#2 Revised May 1990

## Attachment F

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

By signing and submitting this proposal, the applicant defined as the primary participant in accordance with 45 CFR part 76, certifies to the best of its knowledge and believe that it and its principals:

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

(b) Have not within a 3-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 statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted 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 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services (HHS) 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.

The prospective primary participant agrees that by submitting this proposal, it will include the clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transaction." provided below without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions*

(To be Supplied to Lower Tier Participants)

By signing and submitting this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR Part 76, 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 from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

The prospective lower tier participant further agrees by submitting this proposal that it will include this clause entitled "certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions." "without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

## Attachment G

*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 facility owned or leased or contracted for by an entity and used routinely or regularly for the 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 provisions for children's services and that all subgrantees shall certify accordingly.

## 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal

loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

*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.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date

BILLING CODE 4184-01-M

ATTACHMENT I

**DISCLOSURE OF LOBBYING ACTIVITIES**

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.)

<p><b>1. Type of Federal Action:</b></p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b>                  year _____ quarter _____                  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b></p> <p><input type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee                  Tier _____, if known:</p> <p><b>Congressional District, if known:</b> _____</p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p><b>Congressional District, if known:</b> _____</p>
<p><b>6. Federal Department/Agency:</b></p>		<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable: _____</p>
<p><b>8. Federal Action Number, if known:</b></p>		<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>
<p><b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b></p>		<p><b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b></p>
<p><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>		
<p><b>11. Amount of Payment (check all that apply):</b></p> <p>\$ _____      <input type="checkbox"/> actual      <input type="checkbox"/> planned</p>		<p><b>13. Type of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. retainer  <input type="checkbox"/> b. one-time fee  <input type="checkbox"/> c. commission  <input type="checkbox"/> d. contingent fee  <input type="checkbox"/> e. deferred  <input type="checkbox"/> f. other; specify: _____</p>
<p><b>12. Form of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____                  value _____</p>		
<p><b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b></p> <p><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>		
<p><b>15. Continuation Sheet(s) SF-LLL-A attached:</b>      <input type="checkbox"/> Yes      <input type="checkbox"/> No</p>		
<p><b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>		<p><b>Signature:</b> _____</p> <p><b>Print Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Telephone No.:</b> _____      <b>Date:</b> _____</p>
<p><b>Federal Use Only:</b></p>		<p>Authorized for Local Reproduction Standard Form - LLL</p>

## Attachment J

*Certification Regarding Maintenance of Effort*

The undersigned certifies that:

(1) Activities funded under this program announcement are in addition to, and not in substitution for, activities previously carried on without Federal assistance.

(2) Funds or other resources currently devoted to activities designed to meeting the needs of the poor within a community, area, or State have not been reduced in order to provide the required matching contributions.

When legislation for a particular block grant permits the use of its funds as match, the applicant must show that it has received a real increase in its block grant allotment and must certify that other anti-poverty programs will not be scaled back to provide the match required for this project.

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Organization

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Authorized Signature

---

Title

---

Date

Attachment K—DHHS Regulations Applying to All Applicants/Grantees Under the Demonstration Partnership Program

Title 45 of the *Code of Federal Regulations*:

Part 16—Department of Grant Appeals Process

Part 74—Administration of Grants (non-governmental)

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

Sections 74.62(a) Non-Federal Audits  
74.173 Hospitals

74.174(b) Other Nonprofit Organizations

74.304 Final Decisions in Disputes

74.710 Real Property, Equipment and Supplies

74.715 General 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 the Department of Health and Human Services 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—Non-discrimination on the basis of sex in the admission of individuals to training programs

Part 84—Non-discrimination on the Basis of Handicap in Programs

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 Department of Health and Human Services Programs and Activities

## Attachment L

*Executive Order 12372—State Single Points of Contact*

## Arizona

Mrs. Janice Dunn, Attn: Arizona State Clearinghouse, 3800 N. Central Avenue, 14th Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315

## Arkansas

Tracie L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, PO Box 3278, Little Rock, Arkansas 72203, Telephone (501) 682-1074

## California

Glenn Stober, Grants Coordinator, Office of Planning and Research, 1400 Tenth Street, Sacramento, California 95814, Telephone (916) 323-7480

## Delaware

Ms. Francine Booth, State Single Point of Contact, Executive Department, Thomas Collins Building, Dover, Delaware 19903, Telephone (302) 736-3326

## District of Columbia

Rodney T. Hallman, State Single Point of Contact, Office of Grants Management and Development, 717 14th Street, NW., Suite 500, Washington, DC 20005, Telephone (202) 727-6551

## Florida

Florida State Clearinghouse, Intergovernmental Affairs Policy Unit, Executive Office of the Governor, Office of Planning and Budgeting, The Capitol, Tallahassee, Florida 32399-0001, Telephone (904) 488-8441

## Georgia

Mr. Charles H. Badger, Administrator, Georgia State Clearinghouse, 254 Washington Street, SW., Atlanta, Georgia 30334, Telephone (404) 656-3855

## Illinois

Steve Klokkena, State Single Point of Contact, Office of the Governor, 107 Stratton Building, Springfield, Illinois 62706, Telephone (217) 782-1671

## Indiana

Jean S. Blackwell, Budget Director, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone (317) 232-5610

## Iowa

Mr. Steven R. McCann, Division of Community Progress, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309,

Telephone (515) 281-3725

## Kentucky

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601, Telephone (502) 564-2382

## Maine

Ms. Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone (207) 289-3261

## Maryland

Ms. Mary Abrams, Chief, Maryland State Clearinghouse, Department of State Planning, 301 West Preston Street, Baltimore, Maryland 21201-2365, Telephone (301) 225-4490

## Massachusetts

Karen Arone, State Clearinghouse, Executive Office of Communities and Development, 100 Cambridge Street, Room 1803, Boston, Massachusetts 02202, Telephone (617) 727-7001

## Michigan

Richard S. Pastula, Director, Michigan Department of Commerce, Lansing, Michigan 48909, Telephone (517) 373-7356

## Mississippi

Ms. Cathy Mallette, Clearinghouse Officer, Office of Federal Grant Management and Reporting, 301 West Pearl Street, Jackson, Mississippi 39203, Telephone (601) 960-2174

## Missouri

Ms. Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, PO Box 809, Room 430, Truman Building, Jefferson City, Missouri 65102, Telephone (314) 751-4834

## Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone (702) 687-4065, Attention: Ron Sparks, Clearinghouse Coordinator

## New Hampshire

Mr. Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review, Process/James E. Bieber, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone (603) 271-2155

## New Jersey

Gregory W. Adkins, Acting Director, Division of Community Resources, N.J. Department of Community Affairs, Trenton, New Jersey 08625-0803, Telephone (609) 292-6613  
Please direct correspondence and questions to:

Andrew J. Jaskolka, State Review Process,  
Division of Community Resources, CN 814,  
Room 609, Trenton, New Jersey 08625-  
0803, Telephone (609) 292-9025

#### New Mexico

George Elliott, Deputy Director, State Budget  
Division, Room 190, Bataan Memorial  
Building, Santa Fe, New Mexico 87503,  
Telephone (505) 827-3640, Fax (505) 827-  
3006

#### New York

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

#### North Carolina

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

#### North Dakota

N.D. Single Point of Contact, Office of  
Intergovernmental Assistance, Office of  
Management and Budget, 600 East  
Boulevard Avenue, Bismarck, North  
Dakota 58505-0170, Telephone (701) 224-  
2094

#### Ohio

Larry Weaver, State Single Point of Contact,  
State/Federal Funds Coordinator, State  
Clearinghouse, Office of Budget and  
Management, 30 East Broad Street, 34th  
Floor, Columbus, Ohio 43266-0411,  
Telephone (614) 466-0698

#### Rhode Island

Mr. Daniel W. Varin, Associate Director,  
Statewide Planning Program, Department  
of Administration, Division of Planning,  
265 Melrose Street, Providence, Rhode  
Island 02907, Telephone (401) 277-2656  
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

#### Tennessee

Mr. Charles Brown, State Single Point of  
Contact, State Planning Office, 500

Charlotte Avenue, 309 John Sevier  
Building, Nashville, Tennessee 37219,  
Telephone (615) 741-1676

#### Texas

Mr. Thomas Adams, Governor's Office of  
Budget and Planning, PO. Box 12428,  
Austin, Texas 78711, Telephone (512) 463-  
1778

#### Utah

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

#### Vermont

Mr. Bernard D. Johnson, Assistant Director,  
Office of Policy Research and  
Coordination, Pavilion Office Building, 109  
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Attachment M—Checklist for Use in  
Submitting OCS Grant Applications  
(Optional)

The application should contain:

1. Proposal abstract—250 words or less.
2. Table of Contents.
3. A completed, *signed* SF-424,  
"Application for Federal Assistance." The  
letter code for the priority area should be in  
the lower right-hand corner of the page.
4. A completed SF-424A, "Budget  
Information—Non-Construction".
5. Narrative budget justification.
6. A *signed* SF-424B, "Assurances—Non-  
Construction".
7. Attachments E and F concerning drug  
free workplace and debarment regulations.
8. Certification regarding Environmental  
Tobacco Smoke.
9. A *signed* copy of "Certification  
Regarding Anti-lobbying Activities"  
(Attachment H).
10. A completed Disclosure of Lobbying  
Activities, if applicable (Attachment I).
11. A Project Narrative not to exceed  
twenty pages, which includes *all* of the  
elements described in Part IV.
12. Appendices, including:
  - Maintenance of Effort Certification  
(Attachment J)
  - Letter signed by State CSBG Director  
certifying eligibility
  - Partnership Agreements signed by the  
partners
  - Single Point of Contact comments, if  
applicable and available
  - Resumes and/or position descriptions
  - A Business Plan if appropriate or required  
(see Program Sub-Element IIb in Part IV)
  - Letters of match commitment or letters of  
intent
  - Statement regarding worker safety, if  
appropriate (see Part III, discussion of  
Program Priority Area 1.0)

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