

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Office of Community Services

[Program Announcement No. OCS-95-07]

#### Request for Applications Under the Office of Community Services' FY 1995 Family Support Center and Gateway Demonstration Programs

**AGENCY:** Administration for Children and Families (ACF) DHHS.

**ACTION:** Announcement of availability of funds and request for applications under the Office of Community Services' FY 1995 Family Support Center and Gateway Demonstration Programs.

**SUMMARY:** The Office of Community Services (OCS) announces that competing applications will be accepted for Family Support Center and Gateway Demonstration projects authorized by the Stewart B. McKinney Homeless Assistance Act, as amended (P.L. 103-382). (See 42 U.S.C. 11481-11489.)

**CLOSING DATE:** The closing date for submission of applications is April 20, 1995.

**FOR FURTHER INFORMATION CONTACT:**

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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.

**SUPPLEMENTARY INFORMATION:** Under the Family Support Center Program, the Office of Community Services will make grants to eligible entities to pay for the cost of demonstration programs designed to prevent family homelessness through the provision of intensive and comprehensive supportive services to previously homeless individuals and families residing in subsidized public housing or those at risk of homelessness. Services to infants, children and youths shall be designed to enhance their physical, social and educational development and include an array of appropriate services that address the causes and deleterious effects of homelessness. Services to parents and other family members shall be designed to contribute to their child(ren)'s healthy development and to the acquisition of skills and resources

that can prevent homelessness and move the family toward self-sufficiency. All services provided shall be coordinated through the auspices of an organized case management program and include necessary and appropriate services that address the economic and housing needs of the "low-income and very low-income" client families.

Under the Gateway Demonstration Program, grants will be provided to local education agencies to provide on-site education, training and necessary support services to economically disadvantaged residents of public housing. Applicants, in consultation with the local public housing authorities and private industry councils, will design such demonstration programs to increase literacy levels and basic employment skills among residents of public housing developments.

Eligible applicant entities for the Family Support Center Demonstration Program are limited to State and local government agencies, Head Start agencies and any community-based organization of demonstrated effectiveness such as a Community Action Agency designated under section 210 of the Economic Opportunity Act of 1984 (42 U.S.C. 2790), public housing agencies as defined in section 3(b)(6) of the United States Housing Act of 1937 (42 U.S.C. 1437a(6)), State Housing Finance Agencies, local education agencies, an institution of higher education, a public hospital, a community development corporation, a private industry council as defined under section 102(a) of the Job Training Partnership Act (JTPA)(29 U.S.C. 1512(a)), a community health center, and any other public or private nonprofit organizations specializing in the provision of social services.

Eligible applicant entities for the Gateway Demonstration Program are limited to local education agencies in consultation with public housing authorities and private industry councils. Such programs will provide required services as outlined in Part III, Section B.

#### *Availability of Funds and Grant Amounts*

1. OCS is statutorily limited to funding no more than 25 Family Support Center Demonstration grants for a period not to exceed three years. Approximately \$7 million is available to support grant awards under this program announcement.

Under the Family Support Center Demonstration Program legislation, grants must be for a minimum amount of \$200,000 per year for a total of at least

\$600,000 for the maximum project period of three years, and the maximum grant support allowable for a three-year project period is \$2,000,000.

Pursuant to this Announcement, OCS plans to make up to approximately \$4.3 available to fund up to 14 new grants with three year project periods and budget periods of 17-months for not less than \$283,000 each and averaging approximately \$310,000 per grantee. Applications for continuation grants funded under these awards beyond the 17-month budget period but within the three year project period will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that this would be in the best interest of the government.

OCS expects to make \$2,000,000 available to fund 10 competitive 12-month renewal grants. Current grantees completing their second year of Family Support Center Demonstration Programs are eligible to compete for renewal grants for a maximum of twelve additional months of support. This will allow these projects to complete a full three year program as a demonstration project.

2. OCS plans to fund 5 three-year Gateway Demonstration projects for a first-year budget period of up to \$125,000 each.

### **Part I: General Information—Family Support Center Demonstrations**

#### *A. Program Purpose*

The Family Support Center Demonstration Program is an integral part of an HHS/HUD, White House and Interagency Council for the Homeless initiative to encourage and test integrated services delivery approaches to reducing homelessness among families with children. The purpose of this demonstration is to develop and operate Family Support Centers which can intervene to prevent family homelessness. The program supports the Family Support Center's efforts to coordinate and integrate its activities with State and local public and private agencies in providing improved assistance to this at-risk population. Using a coordinated case management approach, Family Support Centers should provide a comprehensive array of family oriented services to prevent initial occurrences of homelessness and to combat the effects of previous homelessness and to prevent its recurrence.

Family Support Centers, through the provision of a comprehensive array of supportive social services using

coordinated case management, should strive to enhance the physical, social, and educational development of low- and very low-income families, thereby increasing their chances of becoming self-sufficient. The intended beneficiaries of these services are families who are living in government-subsidized housing who were homeless or who are at risk of becoming homeless. (Families at risk of homelessness include those living in precarious housing situations, e.g., doubled up with another family; in unstable or inadequate housing; or those facing eviction or loss of housing.)

#### B. Program Services

The project awards will primarily allow for the development and establishment of a family support center that can arrange for and/or provide an array of comprehensive and intensive case-managed social services to those individuals and families who are living in government subsidized housing who were previously homeless or who are at risk of homelessness. Services to infants, children and youths shall be designed to enhance their physical, social and educational development and include an array of appropriate services that address the causes and deleterious effects of homelessness. Services to parents and other family members shall be designed to contribute to their child(ren)'s healthy development and to the achievement of skills and objectives that move the family toward self-sufficiency. All services provided shall be coordinated through the auspices of a family case management program and include necessary and appropriate services that address the economic and housing needs of the "low-income and very low-income" client families.

In the case of services provided to infants, children and youth, such services shall include, where appropriate, the following:

- Nutritional services
- Screening and referral services
- Child care services
- Early childhood development programs
- Early intervention services for children with, or at risk of developmental delays
- Dropout prevention services
- After school activities
- Job readiness and job training services
- Education (including basic skills and literacy services)
- Emergency services including special outreach services targeted to homeless and runaway youth
- Crisis intervention and counseling services

— Other services as necessary and appropriate

In the case of services provided to parents and other family members, services shall be designed to better enable parents and other family members to contribute to their child's healthy development and to the acquisition of skills and resources that can prevent homelessness and move the family toward self-sufficiency and shall include, where appropriate, the following:

- Substance abuse education
- Counseling
- Referral for treatment
- Crisis intervention
- Employment counseling and training
- Life-skills training, including personal financial counseling
- Education, including basic skills and literacy services
- Parenting classes
- Consumer homemaking
- Other services as necessary and appropriate

Family case management shall include the following:

- Needs assessment
- Support in accessing and maintaining appropriate public assistance and social services
- Referral and followup for substance abuse counseling and treatment
- Counseling and crisis intervention
- Family advocacy services
- Housing assistance activities
- Housing counseling
- Eviction or foreclosure prevention assistance
- Referral to sources of emergency rental or mortgage assistance payment
- Support in accessing home energy assistance
- Other services as appropriate

Centers may be part of an existing family oriented program for low and very low income, at risk families or a center organized specifically to provide services targeted at serving the previously homeless and/or at risk families in an identified community. Approaches are sought that emphasize a coordinated effort by a range of community-oriented entities that consolidate resources to the targeted population and which seek to replace a goal of maintenance with a goal of progression and transformation.

#### C. Program Beneficiaries

Projects proposed for funding under this announcement must directly benefit low-income and very low-income families with children residing in governmentally subsidized housing who were previously homeless or who are at-risk of becoming homeless. The term

"low-income" when applied to families means one whose income does not exceed 80% of the median income for a family in the area, as determined by the Secretary of Housing and Urban Development, subject to his discretion to establish different ceilings based on area variations. The term "very low-income" when applied to families means one whose income does not exceed 50% of the median income for a family in the area, as determined by the Secretary of Housing and Urban Development, subject to his discretion to establish different ceilings based on area variations. (See Attachment A.)

#### D. Eligible Applicants

Eligible entities are State and local government agencies, Head Start agencies and any community-based organization of demonstrated effectiveness such as a Community Action Agency designated under section 210 of the Economic Opportunity Act of 1984 (42 U.S.C. 2790), public housing agencies as defined in section 3(b)(6) of the United States Housing Act of 1937 (42 U.S.C. 1437a(6)), State Housing Finance Agencies, local education agencies, an institution of higher education, a public hospital, a community development corporation, a private industry council as defined under section 102(a) of the Job Training Partnership Act (JTPA)(29 U.S.C. 1512(a)), a community health center, and any other public or private nonprofit organizations specializing in the provision of social services.

More than one eligible entity in a State may apply, but separate applications must be submitted.

Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing a copy of the currently valid IRS tax exemption certificate or by providing a copy of the applicant's Articles of Incorporation bearing the seal of the State in which the corporation or association is domiciled.

#### E. Project Period

This announcement is soliciting applications for project periods of up to three years. Awards, on a competitive basis, will be for an initial seventeen (17) month budget period, although project periods may be for three years. Applications for continuation grants funded under these awards beyond the initial 17-month budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory

progress of the grantee and determination that continued funding would be in the best interest of the government.

## **Part II: Guidelines for Family Support Center Demonstration Project Plans and Applications**

### *A. Grant Objectives*

The objectives of the grants funded under the Family Support Center Demonstration Program are: the enhancement of the living conditions of low and very low income families; the improvement of the physical, social and educational development of low and very low income children and families served by the program; the achievement of progress towards increased potential for independence and self-sufficiency among families served; the reduction in the rate of repeated incidences of homelessness among center clientele; and a decrease in the incidence of first time homelessness among community participants.

### *B. Project Design*

The Family Support Center Demonstration Program is intended to prevent the occurrence or recurrence of family homelessness by providing an intensive and comprehensive array of supportive and other services. This announcement prescribes no single model, however, for designing, staffing, or delivering the services of such a program. Its purpose is to stimulate eligible entities to demonstrate the effectiveness of innovative models or approaches which will offer value to both the client population selected and the social services providers in the community. It invites applicants to propose structures and mechanisms for delivering services that are unique to the community and the clientele that they serve, and to propose a program and an approach that replace the goal of client maintenance with one of transformation of families to a position of self-sufficiency.

The center should create a centralized point for the provision of these services and facilitate access to various service providers in the community. The center should provide active family case management and assist clients in maintaining a stable household and assist them in achieving self-sufficiency. Further, the center should assist in joining the case management functions offered by other service providers to render coordinated family case management. The center should tie together service providers in the community and organize a means to reduce duplication of effort in response

to their potentially or previously homeless clientele; and, to reduce the administrative and programmatic burdens that often are placed upon the client population.

To accomplish these goals, applicants are expected to have, in addition to the ability to provide a core of essential services, the capacity to coordinate, link and otherwise organize a cadre of existing providers and to propose a program and an approach that replace the goal of client maintenance with one of transformation to self-sufficiency. A Family Support Center Demonstration program should also include coordination and linkage with existing Federal, State and locally sponsored social services and housing programs such as the Community Services Block Grant (CSBG), AFDC/JOBS program and the varied programs of the Departments of Housing and Urban Development, Labor, and Education.

Each Family Support Center Demonstration Program applicant is required to exhibit the following:

- the capacity to administer a comprehensive support services program directed toward an identified target population;
- the geographic proximity of the facility to the families to be served or the ability to provide mobile or offsite services;
- the ability to coordinate and integrate its activities with State and local public agencies (such as agencies responsible for education, employment and training, health and mental health services, substance abuse services, social services, child care, nutrition, income assistance, housing and energy assistance, and other relevant services), with public or private non-profit agencies and organizations that have a demonstrated record of effectiveness in providing assistance to homeless and at risk families, and with appropriate non-profit private organizations involved in the delivery of eligible support services;
- the fiscal and administrative capacities to conduct a complex, comprehensive and intensive service delivery program;
- the involvement of project participants and community representatives in the planning and operation of the program;
- the utilization and proximity of available comparable Community Action Agency services, unless the applicant is the CAA and intends to expand its existing services;
- the provision of coordinated family case management services which

- direct all respective case management activities through a team approach;
- use of not more than 7 percent of their grant award to improve the retention and effectiveness of staff and volunteers;
- the participation in an ongoing evaluation mechanism to address process and outcome issues as they relate to the efficacy and efficiency of the demonstration program; and
- the establishment and provision of necessary staff to support an advisory body representing the community, providers and target population. The advisory council must include a participant of the program as an active member.

The operating and organizational structure of the program should include a range of agreements with community services providers that responds to the assessed needs of the client populations. These agreements are essential to the success of the project. The program seeks to attract prospective grantees with written agreements either in place at the time of application or able to be in place within 60 days of the grant award. This is to assure an accelerated provision of services to the clients. In those cases where additional services are to be added to existing service patterns, the grantee will provide timetables for the inclusion of these added services. Prospective grantees will have a combination of existing and potential agreements and affiliations for services. It is recommended that the program include affiliations with entities that support and enlarge its service providing role. This may include affiliations with the academic community, such as schools of social work, that may provide a source of staff resources, student/intern placements and a site for scholastic investigation, evaluation and research.

Most importantly, applicants must be closely identified with and located within circumscribed geographical boundaries that coincide with the location and residences of the target population. This catchment area concept should be reflected in the physical location of the project which should be readily accessible to the target population. This in no way limits the possible configurations for project locus. Instead, it permits a range of possibilities that is consistent with the residential pattern of the target population. While the project is most likely to be physically located in or near the place(s) where its target population lives, it is conceivable that its administrative functions may be off-site or co-located with parent agencies.

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.

A percentage of non-Federal share, either in cash and/or in-kind contributions, secured from non-Federal sources is not required. The lack of a requirement is not intended in any way to discourage the use of applicant or third party financial and resource support. Although there is not a specific non-Federal percentage requirement for grants awarded under this announcement, the amount pledged will be given additional weight during the evaluation process. Therefore, the applicant should ensure any amount proposed as match prior to inclusion in its budget. If approved for funding, grantees will be held accountable for commitments of non-Federal resources and failure to provide the required amount will result in a disallowance of unmatched Federal Funds. Further, it should be noted that as the project matures over the project life, there is an implicit encouragement of the assumption of costs of the project by the applicant and the constituent community participants.

### C. Grantee Assurances

The applicant is required by statute to provide within its application the following:

1. Assurances that grant funds will be used to create new services only to the extent that no other funds can be obtained to fulfill the purpose, as required by 42 U.S.C. 11482(e)(2)(F);
2. A description of the program's relationship to various State and local agencies, as required by 42 U.S.C. 11482(e)(2)(G);
3. An explanation of the methods which the grantee will employ to ensure that no more than 7% of the grant funds awarded will be used to improve the retention and effectiveness of staff and volunteers, as required by 42 U.S.C. 11482(e)(2)(I);
4. Assurances that the grantee will establish an advisory council group of not more than 15 members to provide policy and programming guidance which will meet the representational requirements of 42 U.S.C. 11482(e)(2)(J). Representation includes the following:
  - participants in the programs, including parents;
  - representatives of local private industry;

- individuals with expertise in the services the program intends to offer;
- representatives of the community in which the program will be located;
- representatives of local government social service providers;
- representatives of local law enforcement agencies;
- representatives of the local public housing agency, where appropriate; and
- representatives of local education providers.

5. Assurances that any fees assessed by the grantee for program services will be nominal in relation to the financial situation of the recipient of such services, as required by 42 U.S.C. 11482(e)(2)(M); and

6. Assurance that grant funds will not be used to supplant Federal, State and local funds currently expended to provide program services, as required by 42 U.S.C. 11482(e)(2)(N).

### D. Project Evaluation

The Department expects to contract for an independent evaluation of the programs and entities that receive assistance under this announcement. The anticipated evaluation shall examine, at a minimum, the fulfillment of program objectives. Additionally, for children and families served, the project evaluation will also include the following:

1. The enhancement of the living conditions of low and very low income families in housing and in neighborhoods;
2. The improvement of physical, social and educational development;
3. The achievement of progress towards increased potential for independence and self-sufficiency; and,
4. The degree to which the provision of services is affected by caseload size.

Grantees are expected to cooperate with Federal evaluation contractor(s) that will be funded by the Department. Evaluation contractors will conduct assessments of program and service delivery models. Such cooperation will involve initially, reaching agreement with the contractors on the collection and retention of data which will be needed for the evaluation, and thereafter periodically furnishing needed process and outcome oriented data as required and allowing them access to information that has not otherwise been provided by the grantee.

Grantees are expected to maintain sufficient resources to fulfill required data obligations and to respond to demands for information that is to be compiled for national evaluation and reporting purposes.

### E. Grant Applications

Applicants should develop their applications so as to address the following factors and elements:

#### Responsiveness to Community Need

Applicants should identify the population to be served by the project and should describe how previously homeless and at-risk families within this community will be chosen for enrollment. They should provide demographic data to show that there are sufficient numbers of eligible low- and very low-income families residing in the designated area. The application should include a credible plan for enrolling a sufficient number of these families in the project to warrant project investment. Applicants should also demonstrate that the services they intend to provide are responsive both to the assessed needs of the population to be served and the purposes of this announcement.

#### Project Strategy

Applicants should persuasively explain their project strategy—how it will achieve the homelessness prevention goals of this program with the community to be served. The distinctive features of the service approach to be demonstrated should be emphasized, rather than an exhaustive description of all the individual service activities to be undertaken. As an integral part of this discussion, they should define the meaning of success for their project and describe the conditions that they expect to see exist at the conclusion of the project period. Applicants should also identify and briefly describe the kinds of results they will be seeking and the key measures of performance and accomplishment that management will be using to monitor and manage the initiative to a successful conclusion, using time-based graphics if appropriate.

#### Project Services and Delivery Arrangements

Applicants should identify the different services they will offer to achieve project goals and should describe where and how they will be provided. They should also describe the role and contribution of project partners, such as referral sources and agencies with which services will be coordinated. Both on-budget and no-cost partners should be identified and explained; the applicant should differentiate between those services to be provided with Federal funds and those [to be] committed to the project from other funding sources. Partnering applicants should furnish relevant

agreements, letters of commitment, and information about prior experience with these partners with their applications, indicating which services will be affected and the levels of service (availability and cost) that will be provided to project participants from these provider organizations.

#### Applicant Capabilities and Management Qualifications

Applicants should present, through relevant information about their personnel and their experience, their qualifications for undertaking a demonstration program of the type proposed. They should identify proposed project leadership, submit the resumes of relevant education and experience, and describe the previous success of the team or of its key members with strengthening families and their housing arrangements through the delivery and coordination of quality family support services. They should also address the experience of project leadership—especially the individual accountable for effective service delivery to the selected clientele—in coordinating other agencies and project participants over whom he/she has influence but not control. The roles and commitments of the key people in the project should be defined.

#### Project Plans (Budgets) and Schedules

Applicants should detail the implementation plan and schedule for the project, using time-based displays as appropriate. The early months of the schedule should detail service-building and/or service redirecting activities, with major project milestones such as training capacities established, cooperative services open for use, and apprenticeship relationships created. Later entries should indicate when various kinds of project outcomes will begin to be realized in the lives of the community being served. The budget for the project should be correlated with this timeline, showing approximately when budget resources (including non-Federal) will be available and how they will be used to conduct project activity.

#### Project Reporting

Provide in descriptive terms, the manner in which required reports are to be assembled along with the identification of data sources. The application should identify and describe the mechanisms that will be instituted and the commitment of specific resources that will address the requisite evaluation activities, including commitment to meet information requirements. This would necessarily include the reliance on a useful

information management system that is capable of producing program outcome data and responding to needs of a national evaluation study.

Renewal applications should, with regard to future program operations, include the basic information required above. In addition, renewal applications should also include a description of the program's previous 12 months of operation in sufficient detail that it can be reviewed against the project evaluation criteria found in Part IV of this document.

### Part III: Description of the Gateway Demonstration Program

#### A. Program Purpose

This demonstration program will provide grant funds to local education agencies, in consultation with the local public housing authority and private industry council, to provide on-site education, training and necessary support services to economically disadvantaged residents of public housing who have encountered barriers to employment because of basic skills deficiencies.

#### B. Program Services and Requirements

The project awards will primarily allow for the development, establishment and operation of an education, training and support services program, at a minimum, consisting of the following mandatory services:

- Outreach and information services designed to make eligible individuals aware of available services;
- Literacy and bilingual education services, where appropriate and necessary;
- Remedial education and basic skills training;
- Employment training and personal management skill development or referrals for such services; and
- Child care or dependent care for dependents of eligible individuals during those times, including afternoons and evenings, when training services are being provided. (To the extent practicable, child care services shall be designed to employ public housing residents after appropriate training.)

Program may provide the following optional services:

- Pre-employment skills training;
- Employment counseling and application assistance;
- Job development services;
- Federal employment-related activity services;
- Completion of high school or GED program services;
- Transitional assistance, including child care for up to 6 months to

- enable such individual to successfully secure unsubsidized employment;
- Substance abuse prevention and education; and,
- Other appropriate support services.

#### C. Program Beneficiaries

Projects proposed for funding under this portion of the announcement must directly target training and services to individuals who reside in public housing; are economically disadvantaged; and have encountered barriers to employment because of basic skills deficiency including not having a high school diploma, GED, or the equivalent. The grantee shall give priority to single heads of households with young dependent children.

#### D. Evaluation

The Department expects to contract for an independent evaluation of the programs and entities that receive assistance under this program. The anticipated evaluation shall examine, at a minimum, with respect to the fulfillment of program objectives for families with children residing in public housing, the ability of the Gateway Program to promote increases in literacy levels and basic employment skills and the securing of jobs.

Grantees are expected to cooperate with Federal evaluation contractor(s) that will be funded by the Department. Evaluation contractors will conduct assessments of program and service delivery models. Such cooperation will involve periodically furnishing needed process and outcome oriented data as required by the contractors and allowing them access to information that has not otherwise been provided by the grantee.

Grantees are expected to maintain sufficient resources to fulfill required data obligations and to respond to requests for information that is to be compiled for national evaluation and reporting.

#### E. Eligible Applicants

Eligible entities are local education agencies.

#### F. Project Period

This announcement is soliciting applications for project periods up to three years. Awards, on a competitive basis, will be for a seventeen (17) month budget period, although project periods may be for three years. Applications for continuation grants funded under these awards beyond the 17-month budget period, but within the three year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the

grantee and determination that this would be in the best interest of the government.

#### G. Requirements

The applicant shall demonstrate that training and ancillary support services will be accessed through existing program providers to the extent that they are located in the immediate vicinity of the public housing development, or they will contract with such providers for on-site service delivery. The applicant shall warrant that funds provided under this program will be utilized to purchase such services only to the extent that no other funds can be obtained to fulfill the purpose of this demonstration.

The local public housing agency shall agree to make available suitable facilities in the public housing development for the provision of education, training and support services.

The applicant shall detail the process by which the recipients of services will be recruited with the assistance of the public housing authority and how they will be determined to be eligible individuals.

The applicant shall demonstrate the ability to coordinate the services provided with other services provided, with the public housing development and private industry council as well as with other public and private agencies and organizations of demonstrated effectiveness providing similar and ancillary services to the target population.

The applicant, to the fullest extent practicable, shall set forth the manner in which it will attempt to employ residents of the public housing development whenever qualified residents are available.

#### Part IV: Criteria for Review and Evaluation of Applications for New Family Support Center and Gateway Demonstration Programs

Applications for both programs will be reviewed and evaluated to assess the applicant's ability to carry out the projects described under Part II and III of this announcement, using the following criteria and weights:

##### A. Understanding of Program Purposes and Community Needs (10 points)

###### 1. Understanding of Program Purposes (0-5 points)

The extent to which the application reflects a good understanding of the purpose(s) of the program, including the problems, barriers and impediments that prevent the efficient and effective

delivery of an array of intensive and comprehensive services. For the Family Support Center Program, the purpose is to stabilize previously homeless and at-risk families and prevent them experiencing initial or recurring episodes of homelessness. For the Gateway Program, the purpose is to provide education, training and necessary support services to economically disadvantaged residents of public housing who have encountered barriers to employment because of basic skills deficiencies.

###### 2. Understanding of Client, Community, and Service System Needs (0-5 points)

The degree to which the application presents the appropriate and pertinent demographic, social and personal data describing the needs of the client populations to be served. Specifically, the Family Support Center application should identify the extent of family homelessness and the numbers of families in the project's community who are at risk of becoming homeless. For both programs, community data should reflect the resources and the lack of services or programs to address the target population needs. Service system needs should reveal the extent to which there is potential for short to intermediate range solutions to organizational and systemic problems that affect the target populations.

##### B. Quality of Project Plan (40 points)

###### 1. Degree of Innovativeness (0-10 points)

Application should articulate creative and otherwise original approaches and ways to achieve project objectives; application describes unique features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary client and community involvements. The application uses original and enterprising means to identify, target, reach and serve children and families using creative and innovative configurations of mainstream and other programs in the community.

###### 2. Soundness and Clarity of Project Approach/Strategy (0-15 points)

The soundness and feasibility of the project approach to achieve specified goals and objectives and response to client, community and system needs. The extent to which the application outlines a sound and workable plan of action and details how the proposed work will be accomplished and gives acceptable reasons for taking one approach as opposed to others. The inclusion of plans and actions to

accomplish service coordination and delivery.

###### 3. Appropriateness and Specificity of Project Goals (0-5 points)

The enumeration of clearly articulated goals and corresponding objectives addressing the problems. These should be listed in a sequential and integrated fashion tied to program purposes and client needs. For the Family Support Center, this must include the reduction of family homelessness through prevention measures. For Gateway, this must include education and training to prepare participants for employment.

###### 4. Appropriateness of Performance and Impact Measures Selected (0-5 points)

Application lists the activities along with anticipated steps to be carried out in a programmatic and chronological order. Application includes a feasible schedule of target dates and accomplishments, in sufficient detail, for the first seventeen months and more generally for the remaining project period up to 36 months.

Application identifies measurable expected results for participating children and families.

###### 5. Cost Effectiveness (0-5 points)

The extent to which the project's financial costs are reasonable in view of the activities to be carried out and their forecasted outcomes. Applications should address cost expenditures *vis a vis* anticipated project related benefits.

##### C. Capacity (20 points)

###### 1. Staff Background and Experience (0-10 points)

The extent to which the résumés of the program director and key project staff (including names, addresses, training, background and other qualifying experience) demonstrate the ability to effectively and efficiently administer and/or operate within a project of this size, complexity and scope. Staff background and experience should also exhibit clearly the ability of proposed staff to use and coordinate activities with other agencies for the delivery of intensive and comprehensive support services. In the event that new hires or positions are involved, application should include position descriptions and demonstrate the ability to bring available human resources quickly on line with the project.

###### 2. Organization (0-10 points)

Organizational resources that can be utilized within this project, including applicant facilities and physical resources such as existing office and

client services space. The resources capacity of the organization may also include the attributes of the applicant entity to attract cooperating community and other agency resources such as outside means, properties and assets to participate in the program. Application also includes information confirming the organization's administrative and management capabilities and its appropriate location within the organizational structure to support the successful operation of this project.

#### D. Coordination (15 points)

##### 1. Consortia or Project Partnerships (0–5 points)

Application demonstrates breadth and depth in the strength of the consortia involved in the project. Application describes project coordination and linkages with organizations, agencies, and key groups as well as the activities and nature of their effort or contribution. Partnerships established with various private (e.g. foundations, volunteer efforts) and key public programs are included.

##### 2. Committed Resources (0–5 points)

Application identifies current and/or anticipated commitments indicating kinds of service along with specific level of efforts from cooperating service-providing organizations or agencies.

##### 3. Linkages (0–5 points)

Confirmation of linkages established with other local systems-oriented or integration initiatives.

#### E. Monitoring and Evaluation (15 points)

##### 1. Reports and Monitoring (0–5 points)

Application should include information reflecting the entity's ability to conform to required schedule of program and administrative reports and to maintain controls through an organized monitoring effort.

##### 2. Evaluation Activities (0–10 points)

Application should contain information outlining the entity's ability and willingness to participate in ongoing evaluation mechanisms and the capacity to provide required process and outcome oriented data. For the Family Support Center program, these data requirements will support identification and evaluation of grantee objectives, namely, the enhancement of the living conditions of low and very low income families; the improvement of the physical, social and educational development of low and very low income children and families served by the program; the achievement of

progress towards increased potential for independence and self-sufficiency among families served; the reduction in the rate of repeated incidences of homelessness among center clientele and a decrease in the incidence of first time homelessness among community participants.

For Gateway programs, these data requirements will support identification and evaluation of grantee objectives, namely, the removal of barriers to employment because of basic skills deficiencies and the preparation for employment and securing of jobs.

#### Part V: Criteria for Review and Evaluation of Applications for Family Support Center Demonstration Renewal Projects—Only

Applications for renewals will be reviewed and evaluated to assess the applicant's ability to carry out the projects described under Part II of this announcement, using the following criteria and weights:

##### A. Understanding of Program Purposes and Community Needs (0–25 points)

The application has briefly restated the key elements of the initial grant's approved work plan, including the problems, barriers and impediments that have prevented the effective delivery of intensive and comprehensive services to homeless and at risk families. In describing the initial plan the applicant has included pertinent demographic, social and personal data describing the needs of the client population to be served, and the ability of the community to respond to such needs.

##### B. Quality of Project Plan (0–40 points)

The application provides sufficient evidence of positive outcomes demonstrating that initial project design, approach and implementation strategies are effective in responding to client and community homeless prevention needs. The information is sufficient to identify and evaluate grantee accomplishments, namely, the enhancement of the living conditions of low and very low income families; the improvement of the physical, social and educational development of low and very low income children and families served by the program; the achievement of progress towards increased potential for independence and self-sufficiency among families served; the degree to which the provision of services is affected by caseload size; the reduction in the rate of repeated incidences of homelessness among center clientele; and a decrease in the incidences of first

time homelessness among community participants.

##### C. Institutional and Community Coordination (0–15 points)

The applicant shows that there has been a continuing involvement among the community service partners and an increased coordination in service delivery programs as a result of its initial grant. Partnerships established with various private (e.g. foundations, volunteer efforts) and key public programs are included.

The application reflects how the initial period of the grant has had a positive impact toward strengthening the community socio-economic infrastructure, and toward achieving greater access to community resources and/or greater integration of available social service delivery systems while preventing family homelessness.

##### D. Cost Effectiveness (0–10 points)

The extent to which the project's financial costs are reasonable in view of accomplishments and forecasted outcomes. Application should address cost expenditures *vis a vis* project benefits to date and anticipate project related benefits.

##### E. Evaluation Significance (0–10 points)

- The applicant has demonstrated that a longer project operational period is needed to assure program results that will have greater significance.
- The applicant has documented that the renewal of its project will result in more substantial progress toward self-sufficiency of the targeted client population.
- The applicant has demonstrated that a renewal of the grant will result in a more valid and useful project including what the anticipated contributions to policy, practice, and program evaluation will be.

#### Part VI: Application Procedures

##### A. Availability of Forms

This announcement with attachments contains standard forms necessary to apply for awards under this program. The forms may be reproduced for use in submitting applications. Copies of the **Federal Register** containing this Announcement are available at most local libraries and Congressional District Offices for reproduction. If copies are not available at these sources, they may be obtained by writing or telephoning the office listed in the section entitled "For Further Information" at the beginning of this Announcement or through the OCS Electronic Bulletin Board.

Agencies and organizations interested in applying for demonstration grant funds should submit an application on the Standard Form 424, 424A and 424B included in this announcement.

Each Form 424 must be signed by an individual authorized to act on behalf of the applicant agency and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Applications must be prepared in accordance with the guidance provided in this announcement and the instructions in the attached applications package.

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

### B. Application Submission

1. *Deadlines.* Applications shall be considered as meeting the deadline if they are either:

a. Received on or before the deadline date at the Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., 6th Floor, Washington, D.C. 20447, or

b. Sent on or before the deadline date and received by ACF in time for the independent review. (Applicants are cautioned to request a legibly dated U.S. Postal Service postmark or to obtain a legibly dated receipt from a commercial carrier or the U.S. Postal Service. Private metered postmarks are not accepted as proof of timely mailing.)

2. *Applications submitted by other means.* Applications which are 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 are accepted during the normal working hours of 8:00 a.m. to 4:30 p.m., Monday through Friday, on or prior to the established closing date at: The Administration for Children and Families, Division of Discretionary Grants, 6th Floor, ACF Guard Station, 901 D Street, S.W., Washington, D.C. 20447.

3. *Late Applications.* Applications which do not meet one of these criteria are considered late applications. The ACF Division of Discretionary Grants will notify each late applicant that its application will not be considered in this competition.

4. *Extension of Deadline.* The 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 the granting agency does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicant. Applications once submitted are considered final and no additional materials will be accepted.

One signed original application and two copies are required.

**Note:** Applicants should note that the U.S. Postal Service does not uniformly provide a dated post mark. Before relying on this method, applicants should check with their local post office. In some instances packages presented for mailing after a pre-determined time are postmarked with the next day's date. In other cases, postmarks are not routinely placed on packages. Applicants are cautioned to verify that there is a date on the package, and that it is the correct date of mailing, before accepting a receipt. Private metered postmarks are not acceptable as proof of timely mailing.

Applications which have a postmark later than the closing date, or which are hand-delivered after the closing date, will be returned to the sender without consideration in the competition.

### C. Application Consideration

All applications that meet the published deadline for submission will be screened to determine completeness and conformity to the requirements of this announcement. Applications meeting the above screening requirements will be reviewed competitively and scored against the criteria outlined in Part IV or Part V of this announcement. The review will be conducted in Washington, D.C. Such applications will be referred to reviewers knowledgeable about programs dealing with housing, homelessness, education, community action and supportive services. Reviewers will provide a numerical score and explanatory comments based solely on responsiveness to the specific criteria published in this announcement. Reviewers' scores will weigh heavily in funding decisions but may not be the only factor considered. Applications generally will be considered in order of the average scores assigned by reviewers. However, highly ranked applications are not guaranteed funding as other factors are considered, including: comments of reviewers and government officials; staff evaluation and input; geographic distribution; previous program performance of applicants; compliance with grant terms under previous DHHS grants; audit reports; investigative reports; and applicant's progress in resolving any final audit disallowances on previous OCS or other Federal agency grants.

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

The results of the competitive review will assist the Director of the Office of Community Services, in considering competing applications. Consideration will be given to ensuring that a variety of geographic areas are served, that projects with different auspices are selected and that various project designs and models are represented.

### D. 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. Applicants for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

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

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

When comments are submitted directly to ACF, they should be addressed to: Department of Health and

Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., 6th Floor, Washington, D.C. 20447.

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

### Part VII: Instructions for Completing Applications

(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 and SF-424A, and type your application on the copies. If an item on the SF-424 cannot be answered or does not appear to be related or relevant to the assistance requested, write "NA" for "Not Applicable". If your submission on an item needs further explanation or is not directly responsive to the item requested, please explain or provide commentary in Item Number 23. This item may be extended by use of an additional sheet of paper, appropriately identified.

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" (see Attachment B)

Item 1. For the purposes of this announcement, all projects are considered "Applications"; there are no "Pre-Applications" and no Construction projects. Accordingly, check the "Non-Construction" box.

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.

Item 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. Mark the appropriate box. If the applicant is a non-profit corporation, enter "N" in the box and specify "non-profit corporation" in the space marked "other". Proof of non-profit status, such as IRS determination or Articles of Incorporation, must be included as an appendix to the project narrative.

Item 8. "Type of Application"—Please indicate the type of application (New or New-Renewal).

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 93.578. The title is "Family Support Center and Gateway Demonstration Program".

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

ZC—Family Support Center  
ZR—Family Support Center Renewals  
ZG—Gateway Demonstration

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

Item 13. "Proposed Project"—Enter the desirable starting date for the project and the proposed completion date. Projects may not exceed the maximum duration specified.

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. This amount should be no greater than the amount specified under the Section on *Availability of Funds and Grant Amounts*.

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

(See Attachment C)

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

Sections A, B, C, and D should reflect budget estimates for the first year of the project. Section E should present the estimates for Federal assistance for the second year of the project. Grant awardees will be required to submit a "continuation application" for the second year of the project.

In completing these sections, the "Federal Funds" budget entries should separately identify all Federal funds involved in the project, "Non-Federal" will include mobilized funds from all

other sources—applicant, State, and other.

#### Section A—Budget Summary

Line 1: Column (a): Enter "Family Support Center/Gateway Demonstration Program"; Column (b): Enter 93.578 Columns (c) and (d): Not Applicable for new applications. Columns (e), (f) and (g): enter the appropriate amounts needed to support the project for the first budget period.

Lines 2-4: Enter same information as above for any other Federal funds proposed to be used in the project. (Please explain status of funds; e.g., approved or requested, etc.)

#### Section B—Budget Categories

Allocability of costs are governed by applicable cost principles set forth in OMB Circular A-122 and 45 CFR Part 74 (non-governmental) and OMB Circular A-7 and 45 CFR Part 92 (governmental). Budget estimates for all costs must be supported by adequate detail for the grants officer to perform a cost analysis and review. Adequately detailed calculations for each budget object class are those which reflect estimation methods, quantities, unit costs, salaries, and other similar quantitative detail sufficient for the calculations 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.

A detailed itemized budget with a separate budget justification for each major item should be included, as indicated below.

Personnel-Line 6a. Enter the estimated 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. Do not include costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

Fringe Benefits-Line 6b: Enter the estimated 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. 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. Except for Family Support Center renewal applications, travel costs to attend one national workshop in Washington, D.C. by the project director should be included.

Equipment-Line 6d: Enter the estimated total costs of all tangible, non-expendable personal property to be acquired by the project. Tangible, non-expendable personal property is that which has 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 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. An applicant may use its own definition of non-expendable personal property, provided that such a definition would at least include all tangible personal property as defined above. (See Line 21 for additional requirements).

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: (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations including delegate agencies and specific project(s) or businesses to be financed by the applicant.

**Justification:** If available at the time of application, 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-24A, 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. Free and open competition is encouraged for any procurement activities planned using ACF grant funds. Prior approval is required when applicants anticipate procurements that will exceed \$25,000 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: New construction costs are not permitted under this program. This line may be used for renovation costs.

Other-Line 6h: Enter the estimated total of all other costs. Such costs, where applicable, may include, but are not limited to, insurance, food, medical and dental costs (noncontractual), space and equipment rentals, printing and publication, computer use, training costs including tuition, training service costs including wage payments to individuals and supportive service payments, and staff development costs.

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 agency. With the exception of local governments, applicants should enclose a copy of a current rate agreement 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 be also charged as direct costs to the grant.

Total-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.

#### Section C—Non-Federal Resources

This section is to record the amounts of "non-Federal" resources that will be used to support the project. Provide a brief explanation, on a separate sheet, showing the type of contribution, broken out by Object Class Category, and whether it is cash or third-party in-kind. The firm commitment of these funds should be documented and submitted with the application in order to be given full credit in the review criteria.

**Justification:** Describe all non-Federal resources including third-party, cash and/or in-kind contributions. Except in unusual situations, this documentation should be in the form of letters of commitment from the organization(s)/individuals from which funds will be received.

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 other 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 17-month budget period for Family Support Center Demonstration applications. For Gateway Demonstration grants, enter the amount of Federal (OCS) cash needed for this grant, by quarter, during the first 12-month budget period.

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

Applicants for two year projects will complete line 16, (a), (b) and (c).

Column (a) refers respectively to the second year of the project.

Section F— Other Budget Information

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

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

B. Any foreign travel;

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

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

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

Indirect Charges-Line 22. Enter the type of HHS or other Federal agency approved indirect cost rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied and the total indirect expense. Also, enter the date the rate was approved and attach a copy of the rate agreement.

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

*C. SF-24B—“Assurances-Non-Construction”*

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

## Part VIII: Contents of Application and Receipt Process

### A. Contents of Application

Each application submission should include a signed original and two additional copies of the application. Each application should include the following in the order presented:

1. Table of Contents;  
2. 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-24 must bear the original signature of the authorizing representative of the applicant organization]

3. “Budget Information-Non-Construction Programs” (SF-424A);

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

5. Filled out, signed, and dated “Assurances-Non-Construction Programs” (SF-424B);

6. The applicant should sign Attachment E. In so doing, the applicant is certifying that it will comply with the Federal requirements concerning the drug-free workplace and debarment regulations set forth in Attachments E and F.

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

8. A project abstract (a paragraph which succinctly describes the project in 200 characters or less).

9. An Executive Summary—not to exceed one page;

10. Appendices, including (where applicable) proof of non-profit status; proof that the organization is a community development corporation, commitments from service providing organizations, where applicable; Single Point of Contact comments, if applicable; Maintenance of Effort Certification and resumes.

11. A self-addressed mailing label which can be affixed to a notice to acknowledge receipt of application.

The total number of pages for the entire application package, excluding Appendices, should not exceed 50 pages. Pages should be numbered sequentially throughout, excluding Appendices, beginning with the SF-424 as Page #1.

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 application. They will be discarded if included. The applications should be two-holed punched at the top center and fastened separately with a compressor slide paper fastener, such as an ACCO clip, or a binder clip. The submission of bound applications, or applications enclosed in binders, is specifically discouraged.

### B. Acknowledgement of Receipt

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

## Part IX: 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, and the total project period for which support is contemplated.

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 parts 74 (non-governmental) and 92 (governmental).

Grantees will be required to submit quarterly 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. These reports will be submitted in accordance with instructions to be provided by OCS, and will be the basis for any dissemination effort conducted by the Office of Community Services.

Grantees are subject to the audit requirements in 45 CFR Parts 74 and 92 and OMB Circular A-133 and OMB Circular A-128, Audits of States and Local Governments.

Attachment I indicates the regulations which apply to all applicants/grantees under the Family Support Center and Gateway Demonstration Programs.

Dated: February 23, 1995.

**Donald Sykes,**

*Director, Office of Community Services.*

**Attachment A**

**FY 1995 Median Family Income as Determined by the Secretary of Housing and Urban Development**

HUD Field Offices with assisted housing program functions are

responsible for maintaining records of income limits established for areas within their jurisdiction. Field Offices are prepared to make income limits available to the public upon request.

Requests from the public for individual area limits, sets of national or regional income limits may be secured by calling 1-800-245-2691 (301-251-5154 in the Washington, DC area).

The Office of Community Services, Division of Community Demonstration Programs maintains a current set of income information. You may contact

Mr. Sheldon Shalit at 202-401-4807 if you are not able to access the appropriate information from the toll free number listed above.

**BILLING CODE 4184-01-P**



**Instructions for the SF 424**

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

*Item and entry*

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
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 applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6 Object Class Categories	(1)	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
		(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

Standard Form 424A (4-88)  
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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	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					

SF 424A (4-88) Page 2  
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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**

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

Lines 1–4, Columns (c) through (g.)

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

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

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the

increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

**Section B Budget Categories**

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

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

Line 6j—Show the amount of indirect cost.

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

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

**Section C. Non-Federal Resources**

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

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

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

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

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

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

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

**Section D. Forecasted Cash Needs**

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

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

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

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

Line 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.

**Attachment D**

[OMB Approval No. 0348–0040]

**Assurances—Non-Construction Programs**

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

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

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

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a

purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 *et seq.*), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of

the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

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

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

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

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

Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

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

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

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

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

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

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

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

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Signature of Authorized Certifying Official

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Title

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Applicant Organization

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Date Submitted

BILLING CODE 4184-01-P

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 taken 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 grantee 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 statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted 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****Executive Order 12372—State Single Points of Contact***Arizona*

Ms. 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, P.O. 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 Klokkenka, State Single Point of Contact, Office of the Governor, 107 Straton 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, P.O. 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, P.O. 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 & Coordination, Pavilion Office Building, 109 State Street, Montpelier, Vermont 05602, Telephone (802) 828-3326

*West Virginia*

Mr. Fred Cutlip, Director, Community Development Division, West Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone (304) 348-4010

*Wisconsin*

Mr. William C. Carey, Federal/State Relations, Wisconsin Department of Administration, 101 South Webster Street, P.O. Box 7864, Madison, Wisconsin 53707, Telephone (608) 266-0267

*Wyoming*

Sheryl Jeffries, State Single Point of Contact, Herschler Building, 4th Floor, East Wing, Cheyenne, Wyoming 82002, Telephone (307) 777-7574

*Guam*

Mr. Michael J. Reidy, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agana, Guam 96910, Telephone (671) 472-2285

*Northern Mariana Islands*

State Single Point of Contact, Planning and Budget Office, Office of the Governor, Saipan, CM, Northern Mariana Islands 96950

*Puerto Rico*

Norma Burgos/Jose H. Caro, Chairman/Director, Puerto Rico Planning Board, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-9985, Telephone (809) 727-4444

*Virgin Islands*

Jose L. George, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802. Please direct correspondence to: Linda Clarke, Telephone (809) 774-0750

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

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, 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-P

**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>Congressional District, if known: _____</p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known: _____</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> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____      <b>Date:</b> _____</p>
<p><b>Federal Use Only</b></p>		<p><b>Authorized for Local Reproduction Standard Form - LLL</b></p>

**Attachment I—DHHS Regulations Applying to All Applicants/Grantees Under the Family Support Center and Gateway Demonstration Programs**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 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 meet 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.

\_\_\_\_\_  
Organization\_\_\_\_\_  
Authorized Signature\_\_\_\_\_  
Title\_\_\_\_\_  
Date**Attachment K****Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 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 the children's services and that all subgrantees shall certify accordingly.

[FR Doc. 95-5330 Filed 3-3-95; 8:45 am]

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