

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS-95-08]

#### Request for Applications Under the Office of Community Services Fiscal Year 1995 Job Opportunities for Low-Income Individuals Program (Demonstration Projects)

**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 Job Opportunities for Low-Income Individual Program (Demonstration Projects).

**SUMMARY:** The Administration for Children and Families (ACF), Office of Community Services (OCS), announces that competing applications will be accepted for new grants pursuant to the Secretary's discretionary authority under section 505 of the Family Support Act of 1988, as amended.

**CLOSING DATES:** The closing date for submission of applications is April 24, 1995.

**FOR FURTHER INFORMATION CONTACT:** Office of Community Services, Administration for Children and Families, 370 L'Enfant Promenade SW., Washington, DC 20447, Telephone (202) 401-5282, Contact: Nolan Lewis.

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

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##### Part I—Preamble

###### A. Legislative Authority

The Senate Committee on Appropriations, in its recommendations, provides \$5,500,000 for job creation demonstration activities authorized under section 505 of the Family Support Act of 1988, Pub. L. 100-485, as amended. Senate Report No. 103-318, 103d Cong., 2nd Session (1994), to accompany H.R. 4606. Section 505 of the Family Support Act of 1988 authorizes the Secretary to enter into agreements with not less than 5 nor more than 10 non-profit organizations (including community development corporations) for the purpose of conducting demonstration projects to create employment and business opportunities for certain low-income individuals. *The Social Security Act Amendments of 1994, Public Law 103-432, reauthorize Section 505 of the Family Support Act of 1988 through Fiscal Year 1996, and amends subsection (e) and changes the project period from three to six years. The six year project period applies only to grant awards beginning in Fiscal Year 1995.*

###### B. Eligible Applicants

Organizations eligible to apply for funding under this program are any non-profit organizations (including community development corporations) that are exempt from taxation under Section 501(a) of the Internal Revenue Code of 1986 by reason of paragraph (3)

or (4) of section 501(c) of such Code. Applicants must provide documentation of their tax exempt status. The applicant can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, and by providing a copy of its Articles of Incorporation bearing the seal of the State in which the corporation or association is domiciled. Failure to provide evidence of non-profit status will result in rejection of the application.

###### C. Definition of Terms

For purposes of this Program Announcement the following definitions apply:

- Budget Period:* The interval of time into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes.
- Community-Level Data:* Key information to be collected by each grantee that will allow for a national-level analysis of common features of JOLI projects. This includes data on the population of the target area, including the percentage on AFDC and other public assistance, and the percentage whose incomes fall below the poverty line; the unemployment rate; the number of new business starts and business closings; and a description of the major employers and average wage rates and employment opportunities with those employers.
- Community Development Corporation:* A private, locally initiated, nonprofit entity, governed by a board consisting of residents of the community and business, civic leaders, and/or public officials which has a record of implementing economic development projects or whose Articles of Incorporation and/or By-Laws indicate that it has a focus in the area of economic development.
- Hypothesis:* An assumption made in order to test its validity. It should assert a cause-and-effect relationship between a program intervention and its expected result. Both the intervention and result must be measured in order to confirm the hypothesis. For example, the following is a hypothesis: "Eighty hours of classroom training in small business planning will be sufficient for participants to prepare a successful loan application." In this example, data would be obtained on the number of hours of training actually received by participants (the

intervention), and the quality of loan applications (the result), to determine the validity of the hypothesis (are eighty hours of training sufficient to produce the result?).

- Intervention*: Any planned activity within a project that is intended to produce changes in the target population and/or the environment and that can be formally evaluated. For example, assistance in the preparation of a business plan and loan package are planned interventions.
- Job Creation*: To bring about, by activities and services funded under this program, new jobs, that is, jobs that were not in existence before the start of the project. These activities can include self-employment/micro-enterprise training, the development of new business ventures or the expansion of existing businesses.
- Non-profit Organization*: Any organization (including a community development corporation) exempt from taxation under section 501(a) of the Internal Revenue Code of 1986 by reason of paragraph (3) or (4) of section 501(c) of such code.
- Outcome Evaluation*: An assessment of project results as measured by collected data which define the net effects of the interventions applied in the project. An outcome evaluation will produce and interpret findings related to whether the interventions produced desirable changes and their potential for replicability. It should answer the question, *Did this program work?*
- Private employers*: Third-party private non-profit organizations or third-party for-profit businesses operating or proposing to operate in the same community as the applicant and which are proposed or potential employers of project participants.
- Process Evaluation*: The ongoing examination of the implementation of a program. It focuses on the effectiveness and efficiency of the program's activities and interventions (for example, methods of recruiting participants, quality of training activities, or usefulness of follow-up procedures). It should answer questions such as: Who is receiving what services?, and are the services being delivered as planned? It is also known as *formative evaluation* because it gathers information that can be used as a management tool to improve the way a program operates while the program is in progress. It should also identify problems that occurred and how they were dealt with and recommend improved means of future implementation. It

should answer the question: "How was the program carried out?" In concert with the outcome evaluation, it should also help explain, "Why did this program work/not work?"

- Program Participant/Beneficiary*: Any individual eligible to receive Aid to Families with Dependent Children under Part A of Title IV of the Social Security Act and any other individual whose income level does not exceed 100 percent of the official poverty line as found in the most recent Annual Revision of Poverty Income Guidelines published by the Department of Health and Human Services. (See Attachment A.)
- Project Period*: The total time a project is approved for support, including any extensions.
- Self-Sufficiency*: A condition where an individual or family, by reason of employment, does not need and is not eligible for public assistance.

#### D. Purpose

The purpose of this program is to demonstrate and evaluate ways of creating new employment and business opportunities for certain low-income individuals through the provision of technical and financial assistance to private employers in the community, self-employment/micro-enterprise programs and/or new business development programs. A low-income individual eligible to participate in a project conducted under this program is any individual eligible to receive Aid to Families with Dependent Children (AFDC) under Part A of Title IV of the Social Security Act and any other individual whose income level does not exceed 100 percent of the official poverty line. (See Attachment A.) Within these categories, emphasis should be on individuals who are unemployed, those residing in public housing or receiving housing assistance, and those who are homeless.

#### Part II—Program Priority Areas

##### A. General Projects 1.0

The Congressional Conference Report on the FY 1992 appropriations for the Department of Labor, Health and Human Services, and Education and related agencies directed the ACF to require economic development strategies as part of the application process to ensure that highly qualified organizations participate in the demonstration [H.R. Conf. Rep. No. 282, 102d Cong., 1st Sess. 39 (1991)]. These strategies should include descriptions of how projects financed and jobs created under this program will be integrated into a larger effort to promote job and

business opportunities for eligible program participants. Applicants should demonstrate how their proposed projects will impact the overall community/communities served by the applicant. OCS will only fund projects that create new employment and/or business opportunities for eligible program participants. Projects funded under this program must demonstrate how the proposed project will enhance the participants' abilities and skills in their progress toward self-sufficiency. Therefore, proposed projects must show promise toward progress of achieving self-sufficiency among the target population. OCS expects that the jobs and/or business/self employment opportunities to be created under this program will contribute to the goal of self-sufficiency. The employment opportunities should provide hourly wages that exceed the minimum wage and also provide benefits such as health insurance, transportation, child care, and career development opportunities.

Applicants must show that the proposed project will create a significant number of new full-time permanent jobs through the expansion of a pre-identified business or new business development, by providing opportunities for self-employment to eligible participants, or by *creating new non-traditional employment opportunities for women and minorities in highway construction and maintenance or in the machine tool industry as described below.*

*While projected employment in future years may be included in the application, it is essential that the focus of employment opportunities concentrate on new full-time, permanent jobs to be created during the duration of the grant project period and/or on the creation of new business development opportunities for low-income individuals. OCS is particularly interested in receiving proposals in three areas:*

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

*2. Highway Construction and Maintenance. At the same time, OCS is particularly interested in receiving a number of applications which seek to create non-traditional employment opportunities for women and minorities in highway construction and maintenance.*

Approximately \$20 billion a year goes to States for highway construction and repair, creating over 270,000 jobs with State Highway Agencies and 500,000+ jobs with contractors. The Federal Highway Administration (FHWA), in conjunction with the Department of Labor and the Women's Bureau, has been seeking ways to increase minority and women participation. State Highway Agencies now have the option to use up to 1/2 per cent of their Federal highway funds for On-the Job Training (OJT) and supportive services to expand employment opportunities for minorities and women, similar to programs such as Youth Build. In addition, the FHWA has developed and presented a training course, Women in Highway Construction, nationally to over 700 Federal and State Highway Agency personnel and highway contractors on strategies to increase participation of women on highway construction projects.

Because of the aging worker population, there is a serious shortage of qualified workers in highway construction and maintenance in many parts of the country. The shortages will become more critical as the population ages further. Consequently, unions are now taking advantage of opportunities to recruit women and minorities into non-traditional highway construction and maintenance jobs.

Applicants seeking further information about the efforts being undertaken by the FHWA, such as its training efforts and the OJT supportive services program, should contact the appropriate FHWA Regional Civil Rights Director. (See Attachment K.)

3. *Machine Tool Industry.* Another area from which OCS would welcome applications for creation of non-traditional employment opportunities is the machine tool industry. This industry is one into which it has traditionally been difficult for minority, women and low-income workers to gain entry. One possibility might be a strategy of small, high quality "micro-enterprise" machine shops organized in cooperative sub-contracting arrangements with existing industries or businesses.

The requirement for creation of new, full-time permanent jobs applies to all applications. OCS has determined that creation of non-traditional job opportunities for women and minorities in highway construction and maintenance and in the machine tool industry, which previously have been closed to these populations, meets the employment opportunity creation requirements of the JOLI legislation. OCS continues to require JOLI applications to propose the creation of

jobs through the expansion of existing businesses, the development of new businesses, or the creation of employment opportunities through self-employment/microenterprise development. All applications for JOLI grantees must submit a signed written agreement with the State IV-A agency which administers the JOBS program and the appropriate local partners participating in the project. (See Part IV, Criterion VI).

The agreements should describe the cooperative partnerships and include the specific activities to be performed by each partner over the course of the grant period. For example, the agreement should include a description of the training to be provided the eligible participants and local hiring practices, apprenticeships arrangements, and relationship with local unions where applicable.

In the case of proposals for creating self-employment micro-business opportunities for eligible participants, the applicant must detail how it will provide training and support services to potential entrepreneurs. The assistance to be provided to potential entrepreneurs must include, at a minimum, technical assistance in basic business planning and management concepts, and assistance in preparing a business plan (See Part IV, Criterion III for requirements) and loan application.

Any funds that are used for training participants who are AFDC recipients and therefore eligible for JOBS support must be limited to providing specific job-related training to such eligible participants who have been selected for employment (expansion of an existing business, new business venture or non-traditional employment) and/or self-employment business opportunities. Where participants are not receiving AFDC and are therefore not eligible for JOBS support, project funds may be used to provide basic skills training and other support services.

In the review process, favorable consideration will be given to applicants with a demonstrated record of achievement in promoting job and enterprise opportunities for low-income people. Favorable consideration also will be given to those applicants who show the lowest cost-per-job created for low-income individuals. For this program, OCS views \$15,000 in OCS funds as the maximum amount for the creation of a job and, unless there are extenuating circumstances, will not fund projects where the cost-per-job in OCS funds exceeds this amount. Only those jobs created and filled by low-income people will be counted in the

cost-per-job formula. (See Part IV, Criterion IV.)

Technical assistance should be specifically addressed to the needs of the private employer in creating new jobs to be filled by eligible individuals and/or to the individuals themselves such as skills training, job preparation, self-esteem building, etc. Financial assistance may be provided to the private employer as well as the individual.

If the technical and/or financial assistance is to be provided to pre-identified businesses that will be expanded or franchised, written commitments from the businesses to create the planned jobs must be included with the application.

The creation of a revolving loan fund with funds received under this program is an allowable activity. However, OCS encourages the use of funds from other sources for this purpose. Points will be awarded in the review process to those applicants who leverage funds from other sources. (See Part IV, Criterion VI.) Loans made to eligible beneficiaries for business development activities must be at or below market rate.

**Note:** Interest accrued on revolving loan funds may be used to continue or expand the activities of the approved project.

Grant funds received under this program may not be used for construction.

A formal, cooperative relationship between the applicant and the agency responsible for administering the Job Opportunities and Basic Skills Training (JOBS) program (as provided for under title IV-A of the Social Security Act) in the area served by the project is a requirement for funding. The application must include a signed, written agreement between the applicant and the local State IV-A (public welfare) agency administering the JOBS program, or a letter of commitment to such an agreement within 6 months of a grant award (contingent only on receipt of OCS funds). The agreement must describe the cooperative relationship, including specific activities and/or actions each of these entities propose to carry out over the course of the grant period in support of the project.

The agreement, at a minimum, must cover activities that will be provided to the target population and which are related to one or more of the mandatory or optional components offered by the appropriate State's JOBS program. The mandatory activities offered by the States' JOBS programs consist of the following components and services: Basic educational activities (below

secondary level i.e. H.S., GED, ESL; job skills training; job readiness activities; job development and job placement; childcare; and other supportive services (45 CFR 250.44 and 255.0). The optional services offered by the States' JOBS programs must include two (2) of the following components of group and individual job search assistance: on-the-job-training experience; work supplementation; or community work experience (45 CFR 250.45). (See Attachment I for a list of the State IV-A agencies.)

Projects also must include an independent, methodologically sound evaluation of the effectiveness of the activities carried out with the grant funds in creating new jobs and/or business opportunities. (See Part I, C Definition of Terms, and Part IV, Criterion V.)

Applications should include a plan for disseminating the results of the project after expiration of the grant period. Applicants may budget up to \$2,000 for dissemination purposes.

Priority will be given to applications proposing to serve those areas containing the highest percentage of individuals receiving Aid to Families with Dependent Children (AFDC) under Title IV-A of the Social Security Act. (See Part IV, Criterion II.)

#### **B. Community Development Corporations Set-Aside 2.0**

For Fiscal Year 1995, a set-aside fund of \$1 million will be included for Community Development Corporations. (For definition of Community Development Corporation, see Part I, C.)

Such projects must conform to the purposes, requirements, and prohibitions applicable to those submitted under Part II, General Projects 1.0.

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

### **Part III—Application Requirements**

#### **A. Background Information**

##### **1. Project and Budget Periods**

*The Social Security Act Amendment of 1994 which reauthorized the JOLI program also lengthened the project duration from a 3-year period to a 6-year period.* In our effort to implement this change, OCS will approve FY 1995 grants for a project period of six years and an initial budget period of 36 months, or three years. This initial 36-month budget period will be considered the Operational Phase of the project, during which the Work Plan described

in this announcement is to be carried out. The second 36 months, or three years, of the Project Period is to be considered a period of tracking workers in the newly created jobs, of providing them, as needed, with modest support and assistance, and of continuing Project Evaluation. Applications for continuation grants funded under these awards beyond the 36-month budget period but within the six (6) year project period will be entertained in subsequent years on a non-competitive basis, in a modest amount commensurate with the reduced level of effort, and subject to the availability of funds, satisfactory progress of the grantee, and determination that this would be in the best interest of the government.

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

The Office of Community Services expects to award approximately \$5,000,000 by September 30, 1995 for new grants under this program (*\$1 million of which will be awarded pursuant to the Joint OCS/EPA Announcement/NOFA described above*).

A maximum of \$500,000 for the first 36-month budget period will be awarded to selected organizations under this program in FY 1995. OCS will award no less than 5 and no more than 10 grants under this program.

*For Fiscal Year 1995 up to \$1 million in JOLI funds is being made available, along with up to \$500,000 of Community Services Block Grant (CSBG) Discretionary Economic Development grant funds, as part of a Joint Program Announcement/Notice of Funds Availability (NOFA) issued by the Office of Community Services (OCS) and the U.S. Environmental Protection Agency (EPA) to fund up to three projects addressing Community-Based Lead Abatement Training and Career Development and Lead Poisoning Prevention Education. EPA will be providing up to \$1.5 million to public agencies, which together with the OCS funding to private non-profit agencies, will make possible the funding of three \$1 million projects with the public and non-profit grantee agencies in partnership, each Federal agency contributing \$500,000 to each of the three projects. These will be projects of job creation in community based lead abatement within the requirements of JOLI and CSBG Discretionary Programs; and the EPA funds will be available for worker and community training and education. Prospective applicants for these projects should obtain copies of the Joint OCS-EPA Announcement/NOFA which will contain all necessary information, instructions and forms.*

*Copies of the Joint Announcement will be published in the Federal Register and will be available for downloading from the OCS Electronic Bulletin Board 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.*

##### **3. Mobilization of Resources**

OCS will give favorable consideration in the review process to applicants who mobilize cash and/or third-party in-kind contributions for direct use in the project. (See Part IV, Criterion VI.)

##### **4. Program Participants/Beneficiaries**

Projects proposed for funding under this announcement must result in direct benefits to low-income people as defined in the most recent Annual Revision of Poverty Income Guidelines published by DHHS and individuals eligible to receive AFDC under Part A of Title IV of the Social Security Act.

Attachment A to this announcement is an excerpt from the guidelines currently in effect. Annual revisions of these guidelines are normally published in the **Federal Register** in February or early March of each year. Grantees will be required to apply the most recent guidelines throughout the project period. These revised guidelines also may be obtained at public libraries, Congressional offices, or by writing the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. They also are accessible on the OCS Electronic Bulletin Board for reading and/or downloading. (See **FOR FURTHER INFORMATION** at beginning of this announcement.)

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

##### **5. Cooperative Partnership Agreement With State IV-A Agency (JOBS Program)**

A signed written agreement, or letter of commitment to sign such an agreement within six months of a grant award, between the applicant and the local State IV-A agency must be submitted with the application in order to be reviewed and evaluated competitively. The agreement/letter must describe the cooperative relationship and include specific activities and/or actions that each of the entities proposes to carry out over the course of the grant period in support of the project. (Please review PART II, General Projects 1.0 for additional specific information related to this agreement.)

#### 6. Prohibition and Restrictions on the Use of Funds

The use of funds for new construction or the purchase of real property is prohibited. Costs incurred for rearrangement and alteration of facilities required specifically for the grant program are allowable when specifically approved by ACF in writing.

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

#### 7. Multiple Submittals

Due to the limited number of grants that will be made under this program, only one proposal from an eligible applicant will be funded by OCS from FY 1995 JOLI funds, be it pursuant to this announcement (Program areas 1.0 and 2.0) or the aforementioned Joint Announcement/NOFA with EPA.

#### 8. Continuation and Refunding

OCS will not provide continuation funding or refunding to a previously funded grantee to conduct the same demonstration in the same target area.

#### 9. Third-Party Project Evaluation

Proposals must include provision for an independent, methodologically sound evaluation of the effectiveness of the activities carried out with the grant and their efficacy in creating new jobs and business opportunities. There must be a well defined Process Evaluation, and an Outcome Evaluation whose design will permit tracking of project participants throughout the second 36 months of the project. The evaluation must be conducted by an independent evaluator, i.e., a person with recognized evaluation skills who is organizationally distinct from, and not under the control of, the applicant. It is important that each successful applicant have a third-

party evaluator selected, and performing at the very latest by the time the work program of the project is begun, and if possible before that time so that he or she can participate in the final design of the program, in order to assure that data necessary for the evaluation will be collected and available.

#### 10. Economic Development Strategy

In accordance with the legislative reference cited in Part II, Section A, applicants must include in their proposal an explanation of how the proposed project is integrated with and supports a larger economic development strategy within the target community. Where appropriate, applicants should document how they were involved in the preparation and planned implementation of a comprehensive community-based strategic plan, such as that required for applying for Empowerment Zones/Enterprise Community (EZ/EC) status, to achieve both economic and human development in an integrated manner, and how the proposed project supports the goals of that plan. (See Review Criterion II (ii) in Part IV A below.)

#### 11. Maintenance of Effort

The application must include an assurance that activities funded under this program announcement are in addition to, and not in substitution for, activities previously carried out without Federal assistance.

### Part IV—Application Review Process

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

The in-depth assessment and review process will use the following criteria coupled with the specific requirements described in Part III. Scoring will be based on a total of 100 points.

**Note:** The following review criteria reiterate the collection of information requirements contained in Part VI of this announcement. These requirements are approved under OMB Control Number 0970-0062, expiration 09-30-95.

#### A. Criteria for Review and Assessment of Applications in Priority Areas 1.0 and 2.0

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

(i) *Agency's commitment and experience in program area.* The application includes documentation which briefly summarizes two similar projects undertaken by the applicant agency and the extent to which the stated and achieved performance targets, including permanent benefits to low-income populations, have been achieved. Application notes and justifies the priority that this project will have within the agency including the facilities and resources that it has available to carry out the project. (0-10 points)

**Note:** The maximum number of points will be given only to those organizations with a demonstrated record of achievement in promoting job creation and enterprise opportunities for low-income people.

(ii) *Staff skills, resources and responsibilities.* The application must profile the two or three individuals who will have the most responsibility for shaping the project, connecting it to customers, and achieving performance targets. The focus should be on the qualifications, experience, capacity and commitment to the program of the Executive Officials of the organization and the key staff persons who will administer and implement the project. The person identified as Project Director should have supervisory experience, experience in finance and business, and experience with the target population. Because this is a demonstration project within an already-established agency, OCS expects that the key staff person(s) would be identified, if not hired.

The application must also include a resume of the third party evaluator, if identified or hired; or the minimum qualifications and a position description for the third-party evaluator, who must be a person with recognized evaluation skills who is organizationally distinct from, and not under the control of, the applicant. It is important that each successful applicant have a third-party evaluator selected and performing at the very latest by the time the work program of the project is begun, and if possible before that time so that he or she can participate in the final design of the program, in order to assure that data necessary for the evaluation will be collected and available. Plans for selecting an evaluator should be included in the application narrative. A third-party evaluator must have

knowledge about and have experience in conducting process and outcome evaluations, evaluating issues in the job creation field, expansion of businesses and the creation of self-employment and small business opportunities for low-income neighborhoods and a thorough understanding of the range and complexity of the problems faced by the target population. The competitive procurement regulations (45 CFR Part 74, Appendix H) apply to service contracts such as those for evaluators when the costs of such service will exceed \$25,000. (0-10 points)

Criterion II: Analysis of Need (Maximum: 15 points)

(i) *Target area and population description.* The application includes a brief description of the geographic area and population to be served, indicating what the unemployment rates are and (to the extent practicable) how the proposed businesses and subsequent jobs will impact on the nature and extent of the problem. It should also include (with an identification of the source of the information) the number and percentage of individuals receiving AFDC and the total number of individuals which make up the population in the area where the project will operate. (0-5 points)

(ii) *Nature and extent of problems to be addressed.* Application includes an analysis of the identified personal barriers to employment and greater self-sufficiency faced by the population to be targeted by the project. (These might include such problems as illiteracy, substance abuse, family violence, lack of skills training, health or medical problems, need for childcare, or poor self-image.) Application also includes an analysis of the identified community systemic barriers which the project will seek to overcome. These might include lack of jobs; lack of transportation; lack of suitable clothing or equipment; lack of markets; unavailability of financing, insurance or bonding; inadequate municipal services (water, sewage treatment, street lighting, trash collection, electricity, traffic control); high incidence of crime; inadequate health care; or environmental hazards (such as toxic dumpsites or leaking underground tanks). If the jobs to be created by the proposed project are themselves designed to fill one or more of the needs so identified, this fact should be included in the discussion. (0-5 points)

(iii) *Community empowerment consideration.* Special consideration will be given to applicants who are located in areas which are characterized by poverty and other indicators of socio-

economic distress such as a poverty rate of at least 20%, designation as an EZ/EC, high levels of unemployment, and high levels of incidences of violence, gang activity, crime, or drug use. Applicants should document that they were involved in the preparation and planned implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner and how the proposed project supports the goal(s) of that plan. (0-5 points)

Criterion III: Work Program (Maximum: 20 points)

The work plan and business plan(s), where appropriate, must be both sound and feasible. If the applicant is proposing to use project funds to provide technical and/or financial assistance for the establishment of an identified business, or to a third-party private employer to develop or expand a pre-identified business, the application must include a complete business plan (see ii, below). An application that does not include a business plan where one is appropriate may be disqualified and returned to the applicant.

The project must be responsive to the needs and problems identified in the Analysis of Need and Problems to be Addressed.

(i) *Work plan.* The work plan must describe the proposed project activities, or interventions, and explain how they are expected to result in outcomes which will meet the needs of the program participants and assist them to overcome the identified personal and systemic barriers to employment and self-sufficiency. In other words, what will the project staff do with the resources provided to the project and how will what they do (interventions) assist in the creation of employment and business opportunities for program participants in the face of the needs and problems that have been identified. The application should include a hypothesis or hypotheses that is (are) significant and include(s) the key interventions, and which permit(s) measurement of the extent to which the target population can achieve greater self-sufficiency as a result of its involvement in the project. The key interventions should include the types and sources of technical and financial assistance to be provided the participants, as well as any education, training, and support services and the problems or barriers they are designed to overcome. If the technical and/or financial assistance is to be provided to pre-identified businesses that will be expanded or franchised, written

commitments from the businesses specifying their undertakings and levels of participation must be included with the application. The work program must set forth realistic quarterly time targets by which the various work tasks will be completed.

The application identifies and defines critical issues or potential problems that might impact negatively on the project and explains how they can be overcome and the project objectives reasonably attained despite such potential problems.

(ii) *Business plan (where required).* As noted above, a business plan is required whenever the applicant is proposing to establish a new, specific and identified business, or will be providing assistance to a private third-party private employer for the development or expansion of a pre-identified business. In these cases the business plan is one of the major components that will be evaluated by OCS to determine the feasibility of a jobs creation project.

Because the following guidelines were written to cover a variety of possibilities, rigid adherence to them is not possible nor even desirable for all projects. For example, a plan for a service business would not require a discussion of manufacturing nor product design.

With this understanding, the business plan should be prepared in accordance with the following guidelines:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

9. *Critical Risks and Assumptions*: The development of a business has risks and problems and the Business Plan

should contain some explicit assumptions about them. Accordingly, identify and discuss the critical assumptions in the Business Plan and the major problems that will have to be solved to develop the venture. This should include a description of the risks and critical assumptions relating to the industry, the venture, its personnel, the product's market appeal, and the timing and financing of the venture.

10. *Community Benefits*: The proposed project must contribute to economic, community and human development within the project's target area.

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

- a. Profit and Loss Forecasts—quarterly for each year;
- b. Cash Flow Projections—quarterly for each year;
- c. Pro forma balance sheets—quarterly for each year;
- d. Initial sources of project funds;
- e. Initial uses of project funds; and
- f. Any future capital requirements and sources.

(iii) *Facilities*. If the rearrangement or alteration of facilities will be required in implementing the project, the applicant has described and justified such changes.

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

(i) *Quality of JOBS/business opportunities*. The proposed project is expected to produce permanent and measurable results that will reduce the incidence of poverty in the community. Expected results are quantifiable in terms of the creation of permanent, full-time jobs or business opportunities developed (or the creation of non-traditional employment opportunities in highway construction and maintenance or the machine tool industry). In developing business opportunities and self-employment for AFDC recipients and low-income individuals the applicant proposes, at a minimum, to provide basic business planning and management concepts, and assistance in preparing a business plan and loan package.

The application documents that:  
—The business opportunities to be developed for eligible participants will contribute significantly to their progress toward self-sufficiency; and/or

—Jobs to be created for eligible participants will contribute significantly to their progress toward self-sufficiency; they provide, for example, wages that exceed the minimum wage, plus benefits such as health insurance, transportation, child care and career development opportunities. (0–15 points)

(ii) *Cost-per-job*. During the project period the proposed project will create new, permanent jobs through business opportunities or non-traditional employment opportunities for low-income residents at a cost-per-job below \$15,000 in OCS funds, (e.g. cost per job is calculated by dividing the total amount of grant funds requested (\$420,000) by the number of jobs to be created (60) which equals the cost-per-job (\$7,000)). If any other calculations are used, please include your methodology in this section. [Note: Except in those instances where independent reviewers identify extenuating circumstances related to business development activities, the maximum number of points will be given only to those applicants proposing cost-per-job created estimates of \$5,000 or less of OCS requested funds. Higher cost-per-job estimates will receive correspondingly fewer points.] (0–5 points)

Criterion V: Third-Party Evaluation (Maximum: 10 points)

A plan for a methodologically sound third-party (i.e. independent) evaluation of the demonstration project must be included in the application. Application indicates how the applicant will verify the extent to which the performance targets are achieved in this project.

#### The Evaluation Plan

- Includes a specific working definition of "self-sufficiency" (consistent with the broad definition contained in Part I) that permits the measurement of incremental progress of eligible individuals and their families from dependency toward self-sufficiency;
- Clearly defines the changes or benefits (outcomes) to be produced, the activities (interventions) that will produce the changes, and the measures of client progress toward self-sufficiency for which information will be collected (for example: increases in income, decreases in public assistance payments);
- Provides for the annual compilation of community-level data on the characteristics of the population in the project area, including percentage on public assistance, percentage below the poverty line,



- unemployment rate, business starts and failures, and major employers;
- Provides for the conduct of a *continuing process evaluation*. This should include the periodic assessment of the following: client characteristics, pertinent policies and procedures; staffing; cooperative partnerships with state and local agencies; use of other community resources; client outreach and recruitment; client service delivery; cost of services; and, level of technical and financial assistance to employers. The types of data and information, measures and indicators to be used for the process evaluation, as well as the methods and timeframe for collecting and analyzing the required data should be indicated;
  - Provides for the completion of two interim evaluation reports and a final report comprising both *process and outcome evaluation*. The final evaluation report will describe the program design and any changes from the original workplan, outreach and recruitment results, interventions, and accomplishments. The measurement instruments, data collection procedures, and analysis techniques should be discussed, and the report should yield conclusions as to how well the program works and why. It should also discuss the program's potential for replication in other communities; and
  - Includes a realistic plan for disseminating the project findings to other interested organizations and public agencies.

**Criterion VI: Public-Private Partnerships (Maximum: 10 points)**

- The cooperative partnership arrangements are fully described and clearly relate to the objectives of the proposed project, and the activities include one or more of the mandatory or optional components of the State's JOBS program as described in Part II, Section A.
- In the case of projects involved in the creation of non-traditional employment opportunities in highway construction and maintenance or the machine tool industry, agreements with the appropriate partners (for example: highway departments, contractors, unions or businesses) should clearly identify the undertakings of each partner in terms of training, support, apprenticeships, career opportunities, and the like.
- The application documents that the applicant will mobilize from public and/or private sources cash and/or third-party in-kind contributions.

Applications that document that the value of such contributions will be at least equal to the OCS funds requested, and demonstrate that the cooperative partnership arrangements clearly relate to the objectives of the proposed project, will receive the maximum number of points for this criterion. Lesser contributions will be given consideration based upon the value documented.

- Applicants should note that partnership relationships are not created via service delivery contracts; partners should be responsible for substantive project components or elements.
- The above requirements are also applicable to applications submitted in the area of non-traditional employment opportunities. (See Part II, A for minimum requirement to be included in the cooperative partnership agreement.)

**Criterion VII: Budget Appropriateness and Reasonableness (Maximum: 5 points)**

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project.

The application includes a detailed budget break-down for each of the budget categories in the SF-424A. The applicant presents a reasonable administrative cost if an indirect cost rate has not been negotiated with the cognizant Federal agency (See Part VI, Section B, Line 6j).

The estimated cost to the government of the project also is reasonable in relation to the anticipated results.

**Part V—Application Procedures and Selection Process**

**A. Availability of Forms**

Attachment B contains all of the standard forms necessary for the application for awards under this OCS program. This attachment and Parts VI and VII of this announcement contain all of the instructions required for submittal of applications. These forms may be photocopied for the application.

Copies of the **Federal Register** containing this announcement are available at most local libraries and Congressional District Offices for reproduction or accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. If copies are not available at these sources, they may be obtained by writing or telephoning the office listed under the section entitled **FOR FURTHER INFORMATION** at the beginning of this announcement.

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 C and D.

Part VII, Section A contains instructions for the project narrative.

**B. Application Submission**

The closing date for submission of applications is noted under "*CLOSING DATE*" at the beginning of this Announcement.

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, SW., 6th Floor, (OCS-95-08) Washington, DC 20447, *Attention: Maiso Bryant*, or

b. Sent on or before the deadline date and received by the granting agency in time for them to be considered during the competitive review and evaluation process under Chapter 1-62 of the Health and Human Services Grants Administration Manual. (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 acceptable as proof of timely mailing.)

2. *Applications submitted by other means*. Applications which are not submitted in accordance with the above criteria shall be considered as meeting the deadline only if they are physically received before the close of business on or before the deadline date. Hand delivered applications will be accepted at the Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 901 D Street SW., 6th Floor, ACF Guard Station, Washington, DC 20447 during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday.

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 four copies should be submitted.

### C. Intergovernmental Review

This program is covered under Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR part 100, "Intergovernmental Review of Department of Health and Human Services Program 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. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has sixty (60) days from the application deadline 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 may 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, SW., 6th Floor, Washington, DC 20447.

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

### D. Application Consideration

Applications which meet the screening requirements in Part V, item E below will be reviewed competitively. Such applications will be referred to reviewers for a numerical score and explanatory comments based solely on responsiveness to the guidelines and evaluation criteria published in this announcement.

Applications will be reviewed by persons outside of the OCS unit which will be directly responsible for programmatic management of the grant. The results of these reviews will assist the Director and OCS program staff in considering competing applications. Reviewers' scores will weigh heavily in funding decisions but will not be the only factors considered. Applications generally will be considered in order of the average scores assigned by reviewers. However, highly ranked applications are not guaranteed funding since other factors are taken into consideration, including, but not limited to, the timely and proper completion of projects funded with OCS funds granted in the last five (5) years; comments of reviewers and government officials; staff evaluation and input; geographic distribution; previous program performance of applicants; compliance with grant terms under previous DHHS grants; audit reports; investigative reports; and applicant's progress in resolving any final audit disallowances on previous OCS or other Federal agency grants.

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

### E. Criteria for Screening Applicants

#### 1. Initial Screening

The receipt of applications that meet the published deadline for submission will be acknowledged in writing with an assigned identification number. This number, must be referenced in all subsequent communications concerning the application. If an acknowledgement is not received within three weeks after the deadline date, please notify ACF by telephone at (202) 401-9365.

All applications that meet the published deadline for submission will be screened to determine completeness and conformity to the requirements of this announcement. Only those

applications meeting the following requirements will be reviewed and evaluated competitively. Others will be returned to the applicants with a notation that they were unacceptable.

a. The application must contain a Standard Form 424 *Application for Federal Assistance* (SF-424), a budget (SF-424A), and signed *Assurances* (SF-424B) completed according to instructions published in Part VI and Attachment B of this Program Announcement.

b. A project narrative must also accompany the standard forms. OCS requires that the narrative portion of the application be limited to 50 pages, typewritten on one side of the paper only with one-inch margins and type face no smaller than 10 characters per inch (cpi) or equivalent. Charts, exhibits, letters of support and cooperative agreements are not counted against this page limit. It is strongly recommended that you follow the format for the narrative in Part VII, A, 10.

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

d. Application must contain documentation of the applicant's tax exempt status as required under Part I, Section B.

#### 2. Pre-Rating Review

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

a. *Eligibility*: Applicant meets the eligibility requirements described in Part I, Section B. Proof of non-profit status must be included in the Appendices to the Project Narrative (See Part VII, Section A, 11).

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

b. *Target Populations*: The application clearly targets the specific outcomes and benefits of the project to those types of low-income participants and beneficiaries described in Part III, Section A, Program Participants/Beneficiaries.

c. *Grant Amount*: The amount of funds requested does not exceed the limits indicated in Part III, Section A, item 2.

d. *Cooperative Partnership Agreement*. The application contains a written agreement or letter of

commitment that includes, at a minimum, the activities cited in Part II, Section A. The agreement must be signed by an official of the State IV-A agency responsible for administering the JOBS program in the area to be served.

e. *Third-Party Project Evaluation.* A third-party project evaluation plan is included.

f. *Business Plan.* If a third-party private employer is part of the proposed project, a complete business plan is included in the application.

An application will be disqualified from the competition and returned if it does not conform to all of the above requirements.

#### Part VI—Instructions for Completing the SF-424

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

The standard forms attached to this announcement shall be used to apply for funds under this program announcement.

It is suggested that you reproduce single-sided copies of the SF-424 and SF-424A, and type your application on the copies. Please prepare your application in accordance with instructions provided on the forms as well as with the OCS specific instructions set forth below:

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

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

Item 1. For the purposes of this announcement, all projects are considered *Applications*; there are no *Pre-Applications*.

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

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

Item 3. *Date Received by State*—N/A

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

Items 5 and 6. The legal name of the applicant must match that listed as corresponding to the Employer Identification Number. Where the applicant is a previous Department of Health and Human Services grantee, enter the Central Registry System Employee Identification Number (CRS/EIN) and the Payment Identifying

Number, if one has been assigned, in the Block entitled *Federal Identifier* located at the top right hand corner of the form.

Item 7. If the applicant is a non-profit corporation, enter *N* in the box and specify *non-profit* corporation in the space marked *Other*. Proof of non-profit status, such as IRS determination, Articles of Incorporation, or By-laws, must be included as an appendix to the project narrative.

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

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

Item 10. *The Catalog of Federal Domestic Assistance* number for OCS programs covered under this announcement is 93.647. The title is *Social Services Research Demonstration*.

Item 11. In addition to a brief descriptive title of the project, indicate the priority area for which funds are being requested. Use the following letter designations:

JO—General Project  
JS—Community Development Corporation Set-Aside

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

Item 13. *Proposed Project*—The ending date should be calculated based on a 72-month project period.

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 of the Congressional district(s) where the project will be located.

Item 15a. This amount should be no greater than the amount specified under Part III, Availability of Funds and Grant Amounts.

Item 15b-e. These items should reflect both cash and third-party, in-kind contributions for the budget period requested.

Item 15f. N/A.

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

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

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

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

Sections A, B, C and D of SF-424A should reflect budget estimates for the first budget period of the project.

##### Section A—Budget Summary

Lines 1-4

Col. (a):  
*Line 1*—Enter *Social Services Research and Demonstration*.

Col. (b):  
*Line 1*—Catalog of Federal Domestic Assistance number is 93.647

Col. (c) and (d):  
Columns (c) and (d) are not relevant to this program and should not be completed.

Column (e)-(g):  
For line 1, enter in columns (e), (f) and (g) the appropriate amounts needed to support the project. (Maximum \$500,000)

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

##### Section B—Budget Categories

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

Columns (1)-(5):  
Column 1: Enter the *first* budget period of 12 months.

Column 2: Enter the *second* budget period of 12 months.

Column 3: Enter the third budget period of 12 months.

Column 4: Leave blank.

Column 5: Enter the total requirements for Federal funds by the Object Class Categories of this section.

Allocability of costs are governed by the cost principles set forth in OMB Circular A-122 and 45 CFR Part 74.

Budget estimates for national administrative 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 calculation to be duplicated. For any additional object class categories included under the object class *other* identify the additional object class(es) and provide supporting calculations.

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

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

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

*Justification:* Identify the principal investigator or project director, if known. Specify by title or name the percentage of time allocated the project, the individual annual salaries, and the cost to the project of the organization's staff who will be working on the project. Do not include costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

Fringe Benefits—Line 6b. Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate which is entered on line 6j.

*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. Travel costs to attend two national workshops in Washington, D.C. by the project director and the third-party evaluator should be included.

Equipment—Line 6d. Enter the total costs of all non-expendable personal property to be acquired by the project.

*Non-expendable personal property* means tangible personal property having a unit cost of \$5000 or more and having a useful life of one year.

*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, including (1) the estimated cost of the third-party evaluation contract; travel costs for the chief evaluator to attend two national workshops in Washington, D.C. should be included; (2) procurement contracts

(except those which belong on other lines such as equipment, supplies, etc.) and (3) contracts with secondary recipient organizations including delegate agencies and specific project(s) or businesses to be financed by the applicant.

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

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

The total costs of all such agencies will be part of the amount shown on Line 6f. Provide draft Request for Proposal in accordance with 45 CFR Part 74, Appendix H. Free and open competition is encouraged for any procurement activities planned using ACF grant funds. Prior approval is required when applicants anticipate evaluation procurements that will exceed \$25,000 and are requesting an award without competition.

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

Construction—Line 6g. Not applicable.

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

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

Indirect Charges—Line 6j. Enter the total amount of indirect costs. This line should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or another

cognizant Federal agency. With the exception of local governments, applicants should enclose a copy of the current rate agreement if it was negotiated with a cognizant Federal agency other than the Department of Health and Human Services. If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the pertinent *DHHS Guide for Establishing Indirect Cost Rates*, and submit it to the appropriate DHHS Regional Office. Applicants awaiting approval of their indirect cost proposals may also request indirect costs.

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.

Totals—Line 6k. Enter the total amounts of Lines 6i and 6j.

Program Income—Line 7. Enter the estimated amount of income, if any, expected to be generated from this project. Separately show expected program income generated from OCS support and income generated from other mobilized funds. Do not add or subtract this amount from the budget total. Show the nature and source of income in the program narrative statement.

*Justification:* Describe the nature, source and anticipated use of program income in the Program Narrative Statement.

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

#### *Section C—Non-Federal Resources*

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

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

*Justification:* Describe third-party, in-kind contributions, if included.

**Grant Program—Line 8**

Column (a): Enter the project title.

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

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

Column (d): Enter the amount of cash and 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 12-month budget period.

Non Federal—Line 14. Enter the amount of cash from all other sources needed by quarter during the first 12-month budget period.

Totals—Line 15. Enter the total of Lines 13 and 14.

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

For new 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).

**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 cognizant 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-424B Assurances—Non-Construction**

All applicants must fill out, sign, date and return the *Assurances* with the application.

**Part VII—Contents of Application and Receipt Process**

**A. Contents and Order of Application**

Each application submission should include a signed original and four 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-424 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. By signing and submitting this application, the applicant is certifying that it will comply with the Federal requirements concerning 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. Disclosure of Lobbying Activities, SF-LLL: Filled out, signed, and dated form found at Attachment H, if appropriate.

9. Certification Regarding Environmental Tobacco Smoke—Signature on the application attests to the applicants intent to comply with the requirements of the Pro-Children Act of 1994. A signed form does not have to be returned with application.

10. An Executive Summary—not to exceed 300 words;

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

- (i) Eligibility Confirmation
- (ii) Organizational Experience and Staff Responsibilities
- (iii) Analysis of Need
- (iv) Project Design/Work Program
- (v) Business Plan (If appropriate)
- (vi) Third-Party Evaluation
- (vii) Cooperative Partnership Agreement
- (viii) Budget Appropriateness and Reasonableness

12. Appendices—proof of non-profit status as outlined in Part I, Section B; proof that the organization is a community development corporation, if applying under the CDC Set-aside; commitments from officials of businesses that will be expanded or from franchises, where applicable; partnership agreement with State IV-A (JOBS Program) agency; Single Point of Contact comments, if applicable; Maintenance of Effort Certification and resumes.

The total number of pages for the narrative portion of the application package must not exceed 50 pages, excluding Appendices. Pages should be numbered sequentially throughout, excluding Appendices, beginning with the SF-424 as Page 1. The application may also contain letters that show collaboration or substantive commitments to the project by organizations other than the JOBS agency. Such letters are not part of the narrative and should be included in the Appendices. These letters are, therefore, not counted against the fifty page limit.

Applications must be uniform in composition since OCS may find it necessary to duplicate them for review purposes. Therefore, applications must be submitted on white 8½ x 11 inch paper only. They must not include colored, oversized or folded materials.

Do not include organizational brochures or other promotional materials, slides, films, clips, etc. in the proposal. They will be discarded if included. The applications should be two-hole punched at the top center and fastened separately with a compressor slide paper fastener, or a binder clip. The submission of bound applications, or applications enclosed in binders, is specifically discouraged.

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

**B. Acknowledgement of Receipt**

Applicants who meet the initial screening criteria outlined in Part V, Section E, 1, will receive an acknowledgement postcard 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 letter code, i.e., JO or JS, 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) 401-9234.

**Part VIII—Post Award Information and Reporting Requirements**

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

conditions of the award, and the total project period for which support is contemplated.

Project directors and chief evaluators will be required to attend two national evaluation workshops in Washington, D.C. A program development and evaluation workshop will be scheduled shortly after the effective date of the grant. They also will be required to attend, as presenters, the final evaluation workshop on utilization and dissemination to be held at the end of the project period.

Grantees will be required to submit semi-annual progress and financial reports (SF-269) as well as a final progress and financial report within 90 days of the expiration of the grant. Interim evaluation reports, along with a written policies and procedures manual based on the findings of the process evaluation, will be due 30 days after the first twelve months, and the second interim evaluation 30 days after the second twelve months, and a final evaluation report will be due 90 days after the expiration of the grant. This final report will cover 36 months of activities related to project participants. Reporting requirements for the remaining 36 months of the project period will be provided during the solicitation of applications.

Grantees are subject to the audit requirements in 45 CFR Parts 74 (non-profit organization) and OMB Circular A-133.

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

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

Attachment G indicates the regulations which apply to all applicants/grantees under the Job Opportunities for Low-Income Individuals Program.

Dated: February 24, 1995.

**Donald Sykes,**  
*Director, Office of Community Services.*

**ATTACHMENT A.—1995 POVERTY INCOME GUIDELINES FOR ALL STATES (EXCEPT ALASKA AND HAWAII) AND THE DISTRICT OF COLUMBIA**

Size of family unit	Poverty guideline
1 .....	\$7,470
2 .....	10,030
3 .....	12,590
4 .....	15,150
5 .....	17,710
6 .....	20,270
7 .....	22,830
8 .....	25,390

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

POVERTY INCOME GUIDELINES FOR ALASKA

Size of family unit	Poverty guideline
1 .....	\$9,340
2 .....	12,540
3 .....	15,740
4 .....	18,940
5 .....	22,140
6 .....	25,340
7 .....	28,540
8 .....	31,740

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

POVERTY GUIDELINES FOR HAWAII

Size of family unit	Poverty guideline
1 .....	\$8,610
2 .....	11,550
3 .....	14,490
4 .....	17,430
5 .....	20,370
6 .....	23,310
7 .....	26,250
8 .....	29,190

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

BILLING CODE 4184-01-P

Attachment B

OMB Approval No. 0348-0043

**APPLICATION FOR FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction  <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>3. DATE RECEIVED BY STATE</b>		State Application Identifier	
<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier	
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/>	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> [ ] [ ] a [ ] [ ] [ ] [ ]		<b>9. NAME OF FEDERAL AGENCY:</b>	
TITLE:		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>		<b>13. PROPOSED PROJECT:</b> Start Date    Ending Date	
<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant b. Project		<b>15. ESTIMATED FUNDING:</b>	
a. Federal	\$ .00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES: THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO: <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
c. State	\$ .00	<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>	
d. Local	\$ .00	a. Typed Name of Authorized Representative	
e. Other	\$ .00	b. Title	
f. Program Income	\$ .00	c. Telephone number	
g. TOTAL	\$ .00	d. Signature of Authorized Representative	
		e. Date Signed	

Previous Editions Not Usable

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

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**Instructions for the SF 424**

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

**Item and Entry**

1. Self-explanatory.
2. Date application submitted 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 required.

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-M

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

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

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

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	\$
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
13. Federal					
14. Non-Federal					
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 Lines 1–4, Columns (a) and (b)

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

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

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

Lines 1–4, Columns (c) through (g.)

*For new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Column (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 provided 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 Column (b), (c), and (d).

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

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

#### Section F. Other Budget Information

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

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

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

#### Assurances—Non-Construction Programs

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

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

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

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

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

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

5. Will comply with the Intergovernmental Personnel Act of

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

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;

(e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination 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.

**BILLING CODE 4184-01-M**

Attachment C

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

DGMO Form#2 Revised May 1990

**Attachment D—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 Service (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 E—Executive Order 12372—State Single Points of Contact**

*Arizona*

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

*Arkansas*

Tracie L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 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 Klokkenga, State Single Point of Contact, Office of the Governor, 107 Stratton Building, Springfield, Illinois 62706, Telephone (217) 782-1671

*Indiana*

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

*Iowa*

Mr. Steven R. McCann, Division of Community Progress, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309, Telephone (515) 281-3725

*Kentucky*

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

*Maine*

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

*Maryland*

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

*Massachusetts*

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

*Michigan*

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

*Mississippi*

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

*Missouri*

Ms. Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, 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 F—Certification Regarding Lobbying***Certification for Contracts, Grants, Loans, and Cooperative Agreements*

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee

of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into

this transaction 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 persons 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 require statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date

BILLING CODE 4184-01-M

**DISCLOSURE OF LOBBYING ACTIVITIES**

Approved by OI  
0348-0046

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

<b>1. Type of Federal Action:</b> <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		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____ if known:  Congressional District, if known: _____			<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____		
<b>6. Federal Department/Agency:</b>			<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____		
<b>8. Federal Action Number, if known:</b>			<b>9. Award Amount, if known:</b> \$ _____		
<b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b>			<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>		
(attach Continuation Sheet(s) SF-LLL-A, if necessary)					
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned		<b>13. Type of Payment (check all that apply):</b> <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: _____			
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
<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>  (attach Continuation Sheet(s) SF-LLL-A, if necessary)					
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
<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>			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____      Date: _____		
Federal Use Only			Authorized for Local Reproduction Standard Form - LLL		

**Attachment G—DHHS Regulations Applying to All Applicants/Grantees Under the Job Opportunities for Low-Income Individuals Program**

- Title 45 of the *Code of Federal Regulations*:  
 Part 16—Department of Grant Appeals Process  
 Part 74—Administration of Grants (non-governmental)  
 Part 74—Administration of Grants (state and local governments and Indian Tribal affiliates):  
 Sections 74.62(a) Non-Federal Audits  
 74.173 Hospitals  
 74.174(b) Other Nonprofit Organizations  
 74.304 Final Decisions in Disputes  
 74.710 Real Property, Equipment and Supplies  
 74.715 General Program Income  
 Part 75—Informal Grant Appeal Procedures  
 Part 76—Debarment and Suspension from Eligibility for Financial Assistance; Subpart F—Drug Free Workplace Requirements  
 Part 80—Non-Discrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964  
 Part 81—Practice and Procedures for Hearings Under Part 80 of this Title  
 Part 83—Non-discrimination on the basis of sex in the admission of individuals to training programs  
 Part 84—Non-discrimination on the Basis of Handicap in Programs  
 Part 91—Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance  
 Part 92—Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (**Federal Register**, March 11, 1988)  
 Part 93—New Restrictions on Lobbying  
 Part 100—Intergovernmental Review of Department of Health and Human Services Programs and Activities

**Attachment H—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 I—Department of Health & Human Services Administration for Children and Families, Office of Family Assistance, Washington, DC 20447**

February 1994

**Jobs Program Directory**

*Alabama*

Claire Ealy, Director, Office of Work and Training Services, Public Assistance Division, S. Gordon Persons Building, 50 Ripley Street, Montgomery, Alabama 36130, (205) 242-1950

*Alaska*

Charles Knittel, Work Programs Coordinator, Division of Public Assistance, Department of Health and Social Service, P.O. Box 110640, Juneau, Alaska 99811-0640, (907) 465-3347

*Arizona*

Gretchen Evans, JOBS Program Director, Dept. of Economic Security, P.O. Box 6123, Site Code 8011, Phoenix, Arizona 85005, (602) 542-6310

*Arkansas*

Ken Whitlock, Deputy Director, Project SUCCESS, Department of Human Services, P.O. Box 1437, Little Rock, Arkansas 72203, (501) 682-8375

*California*

Bruce Wagstaff, Chief, Employment & Immigrations Programs Branch, Department of Social Services, 744 P Street M/S 6-700, Sacramento, California 95814, (916) 657-2367

*Colorado*

Bob Henson, Director, Work Programs, Department of Social Services, 1575 Sherman Street, Denver, Colorado 80203, (303) 866-2643

*Connecticut*

Dawn Homer-Bouthiette, Planning Supervisor, Job Connection, Department of Social Services, 110

Bartholomew Avenue, Hartford, Connecticut 06106, (203) 566-7125

*Delaware*

Rebecca Varella, Chief Administrator, Employment and Training, Division of Social Services, P.O. Box 906, New Castle, Delaware 19720, (302) 577-4451

*District of Columbia*

Shari Curtis, Chief, Bureau of Training and Employment, Department of Human Services, 33 N Street NE., Washington, DC 20001, (202) 727-1293

*Florida*

Reggis Smith, Chief, Benefit Recovery and Special Programs, Department of Health and Rehabilitative Services, 1317 Winewood Boulevard, Bldg. 6, Tallahassee, Florida 32399-0700, (904) 487-2966

*Georgia*

Sylvia Elam, Chief, Employment Services Unit, Division of Family and Children Services, Department of Human Resources, 2 Peachtree St., 14th Floor, Room 402, Atlanta, Georgia 30303, (404) 657-3737

*Guam*

Diana Calvo, Social Services Supervisor, Department of Public Health and Social Services, P.O. Box 2816, Agana, Guam 96910, (011-671) 734-7286

*Hawaii*

Garry Kemp, Special Assistant to the Director, Department of Human Services, P.O. Box 339, Honolulu, Hawaii, 96809, (808) 586-7054

*Idaho*

Kathy James, Acting Bureau Chief, Bureau of Family Self Support, Department of Health and Welfare, 450 West State Street, Boise, Idaho 83720, (208) 334-5704

*Illinois*

Karan Maxson, Administrator, Division of Planning and Community Services, Department of Public Aid, 100 S. Grand, 2nd Floor, Springfield, Illinois 62762, (217) 785-3300

*Indiana*

Thomas Reel, Program Manager, IMPACT, Department of Public Welfare, 402 W. Washington, W. 363, Indianapolis, Indiana 46204, (317) 232-2002

*Iowa*

Doug Howard, Coordinator, Employment and Training Programs,

Department of Human Services, Fifth Floor, Hoover State Office Building, Des Moines, Iowa 50319, (515) 281-8629

#### Kansas

Phyllis Lewin, Director, Employment Preparation Services, Department of Social and Rehabilitation Services, 300 SW Oakley, West Hall, Topeka, Kansas 66606, (913) 296-4276

#### Kentucky

Sharon Perry, Assistant Director, Center for Program Development, Department of Social Insurance, Cabinet for Human Resources, 275 E. Main Street, Frankfort, Kentucky 40621, (502) 564-3703

#### Louisiana

Howard Prejean, Assistant Secretary, Department of Social Services, Office of Eligibility Determination, P.O. Box 3776, Baton Rouge, Louisiana 70821, (504) 342-4953

#### Maine

Barbara Van Burgel, ASPIRE Coordinator, Bureau of Income Maintenance, Department of Human Services, Statehouse Station #11, 32 Winthrop St., Augusta, Maine 04333, (207) 289-3106

#### Maryland

Carlene Gallion, Acting Executive Director, Office of Project Independence Management, Department of Human Resources, Room 745, 311 W. Saratoga Street, Baltimore, Maryland 21201, (410) 333-0837

#### Massachusetts

John Buonomo, Director, Massachusetts JOBS Program, Department of Public Welfare, 600 Washington St., Boston, Massachusetts 02111, (617) 348-5931

#### Michigan

Alex D. Hawkins, Director, Job Skills Development Group, Michigan Jobs Commission, 201 North Washington Square, Third floor, Victor Centre, Lansing, Michigan 48913, (517) 373-7382

#### Minnesota

Bonnie Baker, Supervisor, Program Development, Department of Human Services, 444 Lafayette Road, St. Paul, Minnesota 55155, (612) 296-2499

#### Mississippi

Jean Temple, Director, JOBS Branch, Office of Children & Youth, Department of Human Services, 421 W. Pascagoula, Jackson, Mississippi 29302, (601) 359-4855

#### Missouri

Richard Koon, FUTURES Program Director, Income Maintenance, Division of Family Services, 72728 Plaza Drive, P.O. Box 88, Jefferson City, Missouri 65103, (314) 751-3124

#### Montana

Marylis Filipovich, Bureau Chief, Program & Policy, Department of Social and Rehabilitation Services, P.O. Box 4210, Helena, Montana 59604, (406) 444-4540

#### Nebraska

Margaret Hall, Public Assistance Administrator, Public Assistance Division, Department of Social Services, 301 Centennial Mall South, P.O. Box 95026, Lincoln, Nebraska 68509, (402) 471-3121

#### Nevada

John Alexander, Employment & Training Coordinator, Nevada State Welfare Division, Capitol Complex, 2527 North Carson Street, Carson City, Nevada 89710, (702) 687-4143

#### New Hampshire

Arthur Chicaderis, JOBS Administrator, Employment Support Services, Office of Economic Services, Division of Human Services, Department of Health and Human Services, 6 Hazen Drive, Concord, New Hampshire 03301-6521, (603) 271-4249

#### New Jersey

Marion E. Reitz, Director, Division of Family Development, Department of Human Services, CN 716, Trenton, New Jersey 08625, (609) 588-2401

#### New Mexico

Bill Dunbar, Acting Director, Income Support Division, Department of Human Services, P.O. Box 2348, Santa Fe, New Mexico 87500, (505) 827-7252

#### New York

Jack Ryan, Director, Bureau of Employment Programs, Department of Social Services, 40 North Pearl Street, Albany, New York 12243, (518) 473-8744

#### North Carolina

Lucy Burgess, Chief, Employment Programs Section, Department of Human Resources, 325 North Salisbury Street, Raleigh, North Carolina 27611, (919) 733-2873

#### North Dakota

Gloria House, JOBS Coordinator, Director of Public Assistance, Department of Human Services, State

Capitol, New Wing 3rd Floor, Bismark, North Dakota 58505, (701) 224-4001

#### Ohio

Mary L. Harris, Deputy Director, Family Support and JOBS, Department of Human Services, State Office Tower, 31st Floor, 30 East Broad Street, Columbus, Ohio 43266-0423, (614) 466-3196

#### Oklahoma

Raymond Haddock, Division Administrator, Family Services Division, Department of Human Services, P.O. Box 25352, Oklahoma City, Oklahoma 73125, (405) 521-3076

#### Oregon

Debbi White, JOBS Program Manager, Adult and Family Services Division, Human Resource Bldg, 2nd Floor, Salem, Oregon 97310-1013, (503) 945-6127

#### Pennsylvania

David Florey, Director, Bureau of Employment and Training Program, Department of Public Welfare, P.O. Box 2675, Harrisburg, Pennsylvania 17105, (717) 787-8613

#### Puerto Rico

Migdalia Marrero, Special Asst. to Secretary, SOSEDF, Isla Grande, Building #10, P.O. Box 11398, Santurce, Puerto Rico 00910, (809) 722-2863

#### Rhode Island

Sherry Campanelli, Associate Director, Community Services, Department of Human Services, 600 New London Avenue, Cranston, Rhode Island 02920, (401) 464-2423

#### South Carolina

Hiram Spain, Executive Assistant for Self-Sufficiency, Department of Social Services, P.O. Box 1520, Columbia, South Carolina 29202, (803) 737-5937

#### South Dakota

Julie Osnes, Administrator, Office of Family Independence, Department of Social Services, Richard F. Kneip Building, Pierre, South Dakota 57501, (605) 773-3493

#### Tennessee

Wanda Moore, Director of Program Services, Department of Human Services, 12th Floor, 400 Deadericks, Nashville, Tennessee 37219, (615) 741-6953



**Texas**

Irma Bermea, Deputy Commissioner,  
Department of Human Services, Mail  
Code 521E, P.O. Box 2960, Austin,  
Texas 78769, (512) 450-3011

**Utah**

Helen Thatcher, Assistant Director,  
Office of Family Support, Department  
of Human Services, 120 North 200  
West, Salt Lake City, Utah 84145-  
0500, (801) 538-8231

**Vermont**

Steve Gold, Director, REACH-UP  
Program, Department of Social  
Welfare, State Office Building, 103  
South Main Street, Waterbury,  
Vermont 05676, (802) 241-2800

**Virgin Islands**

Ermin Boshulte, Director, Public  
Assistance Programs, Department of  
Human Services, Financial Programs  
Division, Knud Hansen Complex—  
Building A, 1303 Hospital Ground,  
Charlotte Amalie, V.I. 00802, (809)  
774-4673

**Virginia**

David Olds, Program Manager,  
Employment Services, Department of  
Social Services, 730 E. Broad St, 2nd  
Floor, Richmond, Virginia 23219-  
1849, (804) 692-1229

**Washington**

Lee Todorovich, Acting Assistant  
Director, Division of Income  
Assistance, Department of Social and  
Health Services, P.O. Box 45400,  
Olympia, Washington 98504-5400,  
(206) 438-8350

**West Virginia**

Sharon Paterno, Director, Division of  
Work and Training, Department of  
Health and Human Services, Building  
6, State Office Complex, Charleston,  
West Virginia 25305, (304) 558-3186

**Wisconsin**

Jean Rogers, Administrator, Division of  
Economic Support, Department of  
Health and Social Services, P.O. Box  
7935, 1 West Wilson Street, Madison,  
Wisconsin 53707-7935, (608) 266-  
3035

**Wyoming**

Kirk McKinney, JOBS Coordinator, Self-  
Sufficiency Division, Department of  
Family Services, Hathaway Building,  
Rm 347, 2300 Capitol Avenue,  
Cheyenne, Wyoming 82002-0710,  
(307) 777-6849

**Attachment J: Checklist for Use in  
Submitting OCS Grant Applications Job  
Opportunities for Low-Income  
Individuals (Optional)**

The application should contain:

1. Table of Contents
2. A completed, *signed SF-424, Application for Federal Assistance*. The letter code for the priority area (JO) should be in the lower right-hand corner of the page.
3. A completed SF-424A, *Budget Information—Non-Construction*.
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 Attachments E and F. 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.
7. A *signed copy of Certification Regarding Anti-Lobbying Activities*.
8. A completed Disclosure of Lobbying Activities, if applicable.
9. An Executive Summary—not to exceed 300 words;
10. A Project Narrative beginning with a Table of Contents that describes the project in the following order:
  - (i) Eligibility Confirmation
  - (ii) Organizational Experience and Staff Responsibilities
  - (iii) Analysis of Need
  - (iv) Project Design/Work Program
  - (v) Business Plan (If appropriate)
  - (vi) Third-Party Evaluation
  - (vii) Cooperative Partnership Agreement
  - (viii) Budget Appropriateness and Reasonableness
11. Appendices, including proof of non-profit status; proof that the organization is a community development corporation, if applying under the CDC Set-aside; a *signed copy of the Cooperative Partnership Agreement or Letter of commitment with State IV-A agency (JOBS Program)*; commitments from officials of businesses that will be expanded or from franchises, where applicable; Single Point of Contact comments, if applicable; Maintenance of Effort Certification and resumes.
12. A self-addressed mailing label which can be affixed to a postcard to acknowledge receipt of application.

**Attachment K****Federal Highway Administration,  
Regional Civil Rights Directors**

- Region One**—Includes CT, ME, MA, NH, NJ, NY, RI, VT, Puerto Rico, and the Virgin Islands  
Mr. Dennis Perrott  
Albany, NY  
(518) 431-4224, ext. 247
- Region Three**—Includes DE, DC, MD, PA, VA, WV  
Ms. Jo Blackstone  
Baltimore, MD  
(410) 962-4030
- Region Four**—Includes AL, FL, GA, KY, MS, NC, SC, TN  
Mr. Charles Stinson  
Atlanta, GA  
(404) 347-4791
- Region Five**—Includes IL, IN, MI, MN, OH, WI  
Mr. Joe Forst  
Olympia Fields, IL  
(708) 283-3924
- Region Six**—Includes AR, LA, NM, OK, TX  
Mr. Humberto Martinez  
Fort Worth, TX  
(817) 334-3671
- Region Seven**—Includes IA, KS, MO, NE  
Mr. Glen Smith  
Kansas City, MO  
(816) 276-2747
- Region Eight**—Includes CO, MT, ND, SD, UT, WY  
Ms. Teresa Banks  
Lakewood, CO
- Region Nine**—Includes AZ, CA, HI, NV, Guam, and American Samoa  
Mr. Harold Dorell  
San Francisco, CA  
(415) 744-3114
- Region Ten**—Includes AK, ID, OR, WA  
Mr. Willie Harris  
Portland, OR  
(503) 326-2067

**Attachment L—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 residence, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

[FR Doc. 95-5512 Filed 3-7-95; 8:45 am]

BILLING CODE 4184-01-P