

**OUNCE OF PREVENTION COUNCIL****DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT****Office of the Assistant Secretary for Community Planning and Development**

[Docket No. FR-3959-N-01]

**Ounce of Prevention Grant Program; Notice of Funding Availability**

**AGENCIES:** The Ounce of Prevention Council and the Office of the Assistant Secretary for Community Planning and Development, HUD.

**ACTION:** Notice of Funding Availability.

**SUMMARY:** This Notice of Funding Availability (NOFA) announces the availability of up to \$1.2 million of FY 1995 funds for grant assistance under the Ounce of Prevention Council's (the Council) Ounce of Prevention Grant Program. These funds will be awarded competitively, through a selection process conducted by HUD, after consultation with the Council, for projects that are targeted to Federally-designated urban and rural Empowerment Zone and Enterprise Community areas (EZ/EC). The grants will be awarded for projects that support local community-based efforts to improve the coordination and, to the extent possible, integration of youth crime and violence prevention programs and initiatives in these areas. Grants may not be used to fund new programs or services or to duplicate existing collaborative efforts; rather, these funds are to be used for projects that build upon, and add to, current efforts to coordinate and integrate youth crime and violence prevention programs and services.

**DATES:** In accordance with section 470 of the Housing and Urban-Rural Recovery Act of 1983 (Pub.L. 98-181), commencement of this demonstration program will await the conclusion of a 60-day period during which full consideration will be given to all public comments received during the 30-day public comment period. After the close of the 30-day public comment period, another Notice may be published setting forth revised requirements and procedures, if public comments received indicate that such changes are necessary. Comments received after the close of the 30-day public comment period, but before the end of an additional 30 days, will be considered for future program NOFAs.

Comment Due Date: November 15, 1995.

**Application Due Date:** The deadline date for submission of an application to HUD for funding under the Ounce of Prevention Grant Program is on or before 5:00 p.m., eastern standard time, December 15, 1995 at the HUD Headquarters office set forth below.

**APPLICATION SUBMISSION:** Application kits may be obtained by calling the Office of Economic Development, Department of Housing and Urban Development, at (202) 708-6355. (This is not a toll free number.) An original and two copies of the completed application for grant funds must be submitted. Applications must be received by the deadline set forth above at the following address: Processing and Control Unit, Office of Community Planning and Development, Department of Housing and Urban Development, 451 Seventh St., SW, Room 7255, Washington, DC 20410. Applications sent by facsimile (FAX) will not be accepted.

**FOR FURTHER INFORMATION CONTACT:** All questions should be directed to the Office of Economic Development, Department of Housing and Urban Development, Room 7136, 451 Seventh St. SW, Washington, DC 20410. Telephone: (202) 708-6355; TDD: 1-800-877-8339. (These are not toll-free numbers.)

**SUPPLEMENTARY INFORMATION:****Information Collection Requirements**

The information collection requirements contained in this notice are being submitted to the Office of Management and Budget for review under the provisions of the Paperwork Reduction Act of 1980 (44 U.S.C. 3501-3520). No person may be subjected to a penalty for failure to comply with these information collection requirements until they have been approved and assigned an OMB control number. The OMB control number, when assigned, will be announced in the Federal Register.

**Part I. Purpose and Substantive Description**

The Federal government currently supports a wide range of programs aimed at reducing youth crime and violence and promoting positive youth development by addressing specific social problems; i.e., drug abuse, gang activity, family violence, dropouts and teenage pregnancy. However, there is a growing recognition at both the Federal and local levels that communities must coordinate these independent programs to make a substantive positive impact on the lives of youth.

Many communities across the country have undertaken significant planning efforts relating to community improvement, public safety, youth development and delinquency prevention. In particular, the Omnibus Budget Reconciliation Act of 1993 (Pub.L. 103-66) created the Empowerment Zones and Enterprise Communities Program to promote cooperative, public-private efforts to restore economic opportunity to distressed neighborhoods. The 105 EZ/EC communities have already undertaken an intensive planning effort which brought together all the segments of the local community to determine the needs of the local community and develop a comprehensive plan to meet those needs. Each plan has a public safety component; many include a focus on youth crime and violence prevention.

This program is intended to build on the public safety and youth development efforts already underway in EZ/EC communities and link them with similar prevention efforts in surrounding neighborhoods. Grants will be awarded to support cooperative efforts aimed at coordinating and, where possible, integrating multiple prevention programs, initiatives and service delivery mechanisms and the organizations that direct them. This grant initiative is designed to demonstrate that local youth crime and violence prevention efforts must include not only comprehensive community planning, but also improved linkages among multiple prevention programs and initiatives, and must integrate services and their delivery, where possible.

**A. Authority**

The Ounce of Prevention Grant Program is authorized under Sections 30101 and 30102 of the Violent Crime Control and Law Enforcement Act of 1994 (42 U.S.C. 13741) (the Act). Pursuant to Section 30101(a)(3) of this Act, the Council has delegated to HUD the authority to carry out this program in consultation with the Council.

**B. Funding Availability**

Under this program, HUD, after consultation with the Council, will award up to \$1.2 million. Up to one-third of the funds will be awarded to rural EZ/EC designees and at least two-thirds to urban EZ/EC designees. Applicants may request no more than \$150,000. HUD reserves the right to fund less than the full amount requested in any application.

As mandated by statute, grant recipients must provide 25 percent of

the total project cost, either in cash or in-kind, fairly valued, as a non-Federal match.

HUD, after consultation with the Council, reserves the right to waive any part of the 25 percent matching requirement if it is satisfactorily determined that an applicant is unable financially to meet the requirement. Matching requirement waivers will be made only upon written request and under extreme circumstances. If applying for the waiver the applicant must submit three years of financial statements, when available, with a narrative documenting the inability to meet the matching requirement.

Funds made available under this NOFA shall not be used to supplant other funds (state, local, Federal or any other funds) that will or have been committed for the same purpose.

### C. Definitions

*Empowerment Zone/Enterprise Community (EZ/EC)* means an urban or rural area so designated by the Secretary of HUD or the Secretary of Agriculture pursuant to sections 1391-1393 of the Omnibus Budget Reconciliation Act of 1993 (Pub.L. 103-66). For purposes of this NOFA, this term shall include Supplemental Empowerment Zones and Enhanced Enterprise Communities, as defined below.

*Supplemental Empowerment Zone/Enhanced Enterprise Community (SEZ/EEC)* means an urban area which was designated by the Secretary of HUD as either a Supplemental Empowerment Zone (SEZ) or an Enhanced Enterprise Community (EEC) and announced as such in the Notice of Designation printed in the Federal Register on February 23, 1995 (60 FR 10018).

## Part II. Overview of Ounce of Prevention Grants

### A. Maximum Awards

Under the competition established by this NOFA, the maximum award for an Ounce of Prevention Grant is \$150,000.

### B. Locational Considerations

Applications shall be geographically-based in particular neighborhoods or sections of municipalities or particular segments of rural areas.

A Federally-designated EZ/EC, or a portion of it, must be the primary focus of the proposed project, and its children and youth the prime beneficiaries of the proposed collaborative efforts; however, the target area may be enlarged beyond the EZ/EC area to respond to physical (e.g., highways) or governmental (e.g., school districts) boundaries and to permit cooperation among

neighborhood-based entities, local agencies, and outside organizations.

### C. Eligible Applicants

Applicants must be cities, counties, or other municipalities, Indian tribal governments, school boards, colleges and universities, private not-for-profit organizations, or consortia consisting of these entities. EZ/EC governing structures may apply if they meet this definition.

Applicants that are not an EZ/EC governing structure must obtain and submit a letter of endorsement from the local EZ/EC governing structure demonstrating its approval of, and willingness to collaborate in, the proposed project. In some cases, for example, where a governing structure is yet to be established, HUD, after consultation with the Council, may waive this requirement. Applicants requesting this waiver must submit a brief statement describing their inability to comply with this requirement.

Due to the purpose of this program, which is to strengthen cooperation and collaboration among community-based youth development, youth crime and violence prevention programs and organizations, applicants are strongly encouraged to work with other potential applicants in their area to develop a single application. In the event that more than one application is received from an EZ/EC area, priority will be given to the applicant that demonstrates greater compliance with the objectives of the program. No more than one grant will be awarded in any EZ/EC area.

### D. Eligible Activities

Applicants can propose any combination of activities that lead to the improved coordination and integration of youth development and youth crime and violence prevention programs, initiatives and service delivery in the target area. Such activities may include the hiring of staff, increasing linkages, assessing prevention needs and developing a collaborative prevention action plan that responds to the needs of the target area.

The Council and HUD anticipate that funds will be used to coordinate and integrate, where possible, programs such as: summer and after-school education and recreational activities; mentoring, tutoring, and other programs involving participation of adult role models; programs assisting and promoting employability and job placement; and prevention and treatment programs to reduce substance abuse, child abuse and adolescent pregnancy, including outreach to at-risk families.

Funds may not be used for the delivery of new or existing programs and services. Rather, these grants are designed to provide additional support for the coordination and integration, where possible, of programs, initiatives and service delivery.

### E. Grant Period

Any grants awarded must be expended for their appropriate activities within 18 months of the date of award.

## Part III. Criteria for Review and Evaluation of the Grant Application

Grantees will be selected based on the qualifications, experience, or potential capabilities of the applicant and participating parties and the extent to which the proposed project would fulfill the purposes of this program. The criteria set forth below in paragraphs A and B will have equal weight for reviewing and evaluating grant applications.

In cases of equally weighted applications, priority will be given to applications from coalitions consisting of a broad spectrum of community-based and social service organizations that have a coordinated team approach to reducing gang membership and the effects of substance abuse, and providing alternatives to at-risk youth.

### A. Capability

Applications must include: (1) The applicant's experience, planning and management capabilities and the proposed manager/coordinator's qualifications to lead the proposed project; (2) a description of the applicant's current efforts that demonstrate the ability to collaborate with other organizations addressing public safety, youth development and youth crime and violence prevention, such as youth-serving organizations, schools, health and social service providers, employers, law enforcement professionals, local government, and residents of target areas, including young people; and (3) a description of matching funds with documentation, including letters of commitment.

### B. Objectives

Applications must also include: (1) A concise project summary including the specific neighborhoods or sections of municipalities or rural areas that will be targeted and a description of the need for the project; (2) a description of how this project will complement and build upon the relevant goals (benchmarks) in the EZ/EC plan and other existing plans or coordinating efforts in the target area that deal with youth development, public safety and youth crime and

violence prevention; (3) a description of the specific approaches to be used (including ways to reach out to other neighborhood-based programs and initiatives, especially Federally-funded efforts such as PACT, Weed and Seed, Safe Futures, CSAP Partnerships, and Youth Gang Prevention Consortia); the outcomes expected; and the process for determining how well the outcomes are being achieved; and (4) a description of the EZ/EC and other resources (public and private) that are currently dedicated to coordination and plan implementation and any other resources, in addition to the matching funds described under paragraph A, that will be used to support this project.

#### Part IV. Other Submission Requirements

In addition to the information requested in Part III of this notice, the applicant shall submit the following:

- a. SF 424, Application for Federal Assistance.
- b. The certification regarding lobbying required under 24 CFR part 87 (Appendix A).
- c. Certification of a Drug-Free Workplace, in accordance with the Drug-Free Workplace Act of 1988, and HUD's regulations at 24 CFR part 24, subpart F.
- d. A copy of the organization's IRS ruling providing tax-exempt status under section 501(c) of the IRS Code of 1986, as amended, if applicable.
- e. Line-item budget reflecting the use of funds for the activities to be enhanced or coordinated;
- f. Copy of an endorsement from the EZ/EC governing board, if a waiver has not been requested.
- g. Evidence of commitments for the sources of matching dollars, if applicable.

Applications of no more than 20 pages should be submitted on 8.5" x 11" paper, with lines double-spaced and printed on only one side. All pages of the application shall be numbered sequentially.

#### Reports

Each grantee will be required to submit, in a form prescribed by HUD, after consultation with the Council, interim reports, and a final report within 90 days after the completion of the project. The final report shall describe the use of the grant funds and include a description and an analysis of the project, the approaches taken, the outcomes expected, and the results and benefits achieved.

#### Technical Deficiencies

To the extent permitted by law, HUD may advise applicants of technical deficiencies in the applications and permit them to be corrected. Due to the requirements of the HUD Reform Act, HUD staff is limited in the assistance it is permitted to provide regarding applications for grants. The assistance and advice that can be provided includes such activities as explaining and responding to questions about program regulation, identification of those parts of an application that need substantive improvement, the dates by which decisions will be made and procedures that are required to be performed to process an application. This term, however, does not include advising the applicant how to make those improvements.

In addition, any information published in the Federal Register and in this NOFA, and any information that has been made public through a means other than the Federal Register or NOFA, may be discussed.

#### Other Matters

##### *Environmental Impact*

It is HUD's determination that an environmental finding of no significant impact is not required under this NOFA. HUD environmental regulations (24 CFR 50.19) state certain activities assisted under HUD programs, such as the eligible activities in this NOFA, would not alter any conditions requiring environmental review or compliance with other Federal laws and authorities cited in Section 50.4.

##### *Executive Order 12612, Federalism*

The General Counsel, as the Designated Official under section 6(a) of Executive Order 12612, Federalism, has determined that this NOFA will not have substantial, direct effects on States, on their political subdivisions, or on their relationship with the Federal Governments, or on the distribution of power and responsibilities between them and other levels of governments.

##### *Executive Order 12606, the Family*

The General Counsel, as the Designated Official for Executive Order 12606, The Family, has determined that the policies announced in the NOFA would not have the potential for significant impact on family formation, maintenance and general well-being within the meaning of the Order. No significant change in existing HUD policies and programs will result from issuance of this NOFA, as those policies and programs relate to family concerns.

#### Prohibition Against Lobbying Activities

The use of funds awarded under this NOFA is subject to the disclosure requirements and prohibitions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1990 (31 U.S.C. 1351) and the implementing regulations at 24 CFR part 87. These authorities prohibit recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant, or loan. The prohibition also covers the awarding of contracts, grants, cooperative agreements, or loans unless the recipient has made an acceptable certification regarding lobbying. Under 24 CFR part 87, applicants, recipients, and subrecipients of assistance exceeding \$100,000 must certify that no Federal funds have been or will be spent on lobbying activities in connection with the assistance.

##### *Prohibition Against Lobbying of HUD Personnel*

Section 13 of the Department of Housing and Urban Development Act (42 U.S.C. 3537b) contains two provisions dealing with efforts to influence HUD's decisions with respect to financial assistance. The first imposes disclosure requirements on those who are typically involved in these efforts—those who pay others to influence the award of assistance or the taking of a management action by the Department and those who are paid to provide the influence. The second restricts the payment of fees to those who are paid to influence the award of HUD assistance, if the fees are tied to the number of housing units received or are based on the amount of assistance received, or if they are contingent upon the receipt of assistance. HUD's regulation implementing section 13 is codified at 24 CFR part 86. If readers are involved in any efforts to influence the Department in these ways, they are urged to read the final rule, particularly the examples contained in Appendix A of the rule. Appendix A of this rule contains examples of activities covered by this rule.

##### *Prohibition Against Advance Disclosure of Funding Decisions*

HUD's regulations implementing section 103 of the HUD Reform Act are codified at 24 CFR part 4 and apply to the funding competition announced today. The requirements of part 4 continue to apply until the announcement of the selection of successful applicants.

HUD employees involved in the review of applications and in the making of funding decisions are restrained by part 4 from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted by 24 CFR part 4.

Any questions concerning the rule should be directed to the Office of Ethics, Room 2158, Department of Housing and Urban Development, 451 Seventh St. SW, Washington, DC 20410-3000. Telephone: (202) 708-3815 (voice/TTD). (This is not a toll-free number.) Forms necessary for compliance with the rule may be obtained from the local HUD office.

*Accountability in the Provision of HUD Assistance: Documentation and Public Access Requirements*

HUD's regulation implementing section 102 of the HUD Reform Act is codified at 24 CFR part 12. Section 102

contains a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 16, 1992 (57 FR 1942), following publication of the March 14, 1991 final rule, HUD published additional information that gave the public (including applicants for, and recipients of, HUD assistance) further information on the implementation, public access, and disclosure requirements of section 102. The requirements of section 102 are applicable to assistance awarded under this NOFA.

(i) **Documentation and Public Access Requirements:** HUD will ensure documentation and other information regarding each application submitted pursuant to this NOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C.

552) and HUD's implementing regulations at 24 CFR part 15. In addition, HUD will include the recipients of assistance pursuant to this NOFA in its Federal Register notice of all recipients of HUD assistance awarded on a competitive basis. (See 24 CFR 12.14 (a) and 12.16 (b), and the notice published in the Federal Register on January 16, 1992 (57 FR 1942) for further information on these requirements.

(ii) **Disclosures:** HUD will make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this NOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period of less than three years.

Dated: October 11, 1995.

Kumiki Gibson,  
*Counsel to the Vice President.*

Dated: October 11, 1995.

Andrew M. Cuomo,  
*Assistant Secretary for Community Planning and Development.*

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