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BILLING CODE 4510-CX-C

**DEPARTMENT OF LABOR****Office of Disability Employment Policy****Innovative Demonstration Grants for Youth With Disabilities****AGENCY:** Office of Disability Employment Policy, Labor.**ACTION:** Notice of Availability of Funds and Solicitation for Grant Applications of Innovative Demonstration Grants for Youth with Disabilities (SGA 02-12).

**SUMMARY:** The U.S. Department of Labor ("DOL" or "Department"), Office of Disability Employment Policy ("ODEP") announces the availability of \$2.5 million to award competitive grants to fund model demonstration programs designed to enhance the capacity of youth programs working in coordination with the Workforce Investment Act (WIA) (Pub. L. 105-220, 29 U.S.C. 2801 *et seq.*) to serve youth with disabilities. Up to five competitive grants will be awarded in the range of \$350,000 to \$500,000. These awards are for a two-year period of performance. To be eligible, applicants must be local WIA grant recipients, fiscal agents for such grant recipients, Local Workforce Investment Boards (Local Boards), and/or competitively selected eligible youth service providers with formal agreements with such organizations.

Each grant must involve members of two specific groups in strategic planning and implementation activities: Youth with disabilities (including those with hidden disabilities such as psychiatric disabilities, substance addiction, mental retardation and learning disabilities), relevant experts in the field of young people with disabilities (such as disability organizations, researchers, policy makers, employers, family members and/or family organizations, independent living centers, or service providers). Each grant must also include a management and evaluation component. All forms necessary to prepare an application are included in this Solicitation for Grant Application (SGA.) If another copy of a Standard Form is needed, go online to <http://www.whitehouse.gov/OMB/grants/forms.html>.

**DATES:** One (1) ink-signed original, complete grant application plus two (2) copies of the Technical Proposal and two (2) copies of the Cost Proposal must be submitted to the U.S. Department of Labor, Procurement Services Center, Attention Grant Officer, Reference SGA

02-12, Room N-5416, 200 Constitution Avenue, NW., Washington, DC 20210, not later than 4:45 p.m., Eastern Daylight Savings Time (EDST), August 12, 2002. Hand-delivered applications must be received by the Procurement Services Center by that time.

**ADDRESSES:** Applications must be directed to the U.S. Department of Labor, Procurement Services Center, Attention: Grant Officer, Reference SGA 02-12, Room N-5416, 200 Constitution Ave., NW., Washington, DC 20210.

**FOR FURTHER INFORMATION CONTACT:** All applicants are advised that U.S. mail delivery in the Washington, DC area has been erratic due to concerns involving anthrax contamination. All applicants must take this into consideration when preparing to meet the application deadline. It is recommended that you confirm receipt of your application by contacting Cassandra Willis, U.S. Department of Labor, Procurement Services Center, telephone (202) 693-4570 (this is not a toll-free number), prior to the closing deadline.

**Acceptable Methods of Submission:**

The application package must be received at the designated place by the date and time specified or it will *not* be considered. Any application received at the Office of Procurement Services Center after 4:45 p.m., EDST, August 12, 2002, will not be considered unless it is received before the award is made and:

1. It was sent by registered or certified mail not later than the fifth calendar day before August 12, 2002; or
2. It was sent by U.S. Postal Service Express Mail Next Day Service-Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two (2) working days, excluding weekends and Federal holidays, prior to August 12, 2002; or

3. It is determined by the Government that the late receipt was due solely to mishandling by the Government after receipt at the U.S. Department of Labor at the address indicated.

The only acceptable evidence to establish the date of mailing of a late application sent by registered or certified mail is the U.S. Postal Service postmark on the envelope or wrapper and on the original receipt from the U.S. Postal Service. If the postmark is not legible, an application received after the above closing time and date shall be processed as if mailed late. "Postmark" means a printed, stamped or otherwise placed impression (*not* a postage meter machine impression) that is readily identifiable without further action as having been applied and affixed by an employee of the U.S. Postal Service on

the date of mailing. Therefore, applicants should request the postal clerk place a legible hand cancellation "bulls-eye" postmark on both the receipt and the envelope or wrapper.

The only acceptable evidence to establish the time of receipt at the U. S. Department of Labor is the date/time stamp of the Procurement Services Center on the application wrapper or other documentary evidence or receipt maintained by that office.

Applications sent by other delivery services, such as Federal Express, UPS, etc., will also be accepted; however, the applicant bears the responsibility of timely submission.

All applicants are advised that U.S. mail delivery in the Washington, DC area has been erratic due to concerns involving anthrax contamination. All applicants must take this into consideration when preparing to meet the application deadline. Therefore, it is recommended that you confirm receipt of your application by contacting Cassandra Willis, U.S. Department of Labor, Procurement Services Center, telephone (202) 693-4570, (this is not a toll-free number), prior to the closing deadline. Persons who are deaf or hard of hearing may contact the Department via the Federal Relay Service, (800) 877-8339.

**SUPPLEMENTARY INFORMATION:****I. Authority**

Consolidated Appropriations Act, 2001, Pub. L. 106-554, 114 Stat. 2763, A-10, 29 U.S.C. 557(b); DOL, HHS, Education & Related Agencies Appropriations Act, 2002, Pub L. 107-116, 115 Stat. 2177.

**II. Background**

The President's "New Freedom Initiative" is designed to increase the number of people with disabilities who enter, re-enter, and remain in the workforce. This initiative is dedicated to increasing investment in, and access to, assistive technologies and expanding educational opportunities in order to increase the ability of individuals with disabilities to integrate into the workforce; and to promote increased access into the community.<sup>1</sup>

A key to increasing the employment of people with disabilities is to ensure that young people with disabilities are provided resources and assistance to move from school to work, as opposed to becoming dependent on welfare or other benefits programs. One way of accomplishing this is to increase the

<sup>1</sup> For more information about the New Freedom Initiative, go to the White House web page at [www.whitehouse.gov/news/freedominitiative](http://www.whitehouse.gov/news/freedominitiative).

participation of youth with disabilities in mainstream workforce development activities under the Workforce Investment Act of 1998 (WIA).

According to the U.S. Department of Education, the national high school graduation rates (e.g. diplomas, GED, alternative certificates) for students with disabilities are below that of youth without disabilities. Nearly nine-tenths (88%) of students without disabilities graduate, compared to only 62% of youth with disabilities.<sup>2</sup> Moreover, students with disabilities experience a school drop out rate that is 3 times greater than that for youth without disabilities—31% vs. 11%. Youth with emotional disabilities experience an even higher drop out rate of 54%. It is estimated that only one-third of young people with disabilities who need job training receive it. Young people with disabilities also have significantly lower rates of participation in post-secondary education. Finally, the Social Security Administration has found that many young people with disabilities who enter the Supplementary Security Income (SSI)/Social Security Disability Insurance (SSDI) rolls are likely to remain on the program rolls for their entire lives.

The federal/state vocational rehabilitation system is neither large enough to serve, nor solely responsible for serving, all youth with disabilities that depart the school system. According to the U.S. Department of Education, each year approximately 500,000 young people with disabilities leave our nation's schools. Vocational rehabilitation programs are able to serve less than 40,000 of these young people with disabilities. Many of the remaining 460,000 youth with disabilities are potentially eligible for youth programs supported under WIA. One of the most significant reforms under WIA section 129(c) [29 U.S.C. 2854(c)], is the consolidation of the year-round youth program and the summer youth program into a single formula-based funding stream. Under WIA, each local workforce investment area must have a year-round youth services strategy that incorporates summer youth employment opportunities as one of ten required program elements (WIA section 129(c)(2), 20 CFR 644.410). The ten program elements reflect successful

youth development approaches and focus on the following four key themes:

1. Improving educational achievement (including such elements as tutoring, study skills training, and instruction leading to secondary school completion, drop-out prevention strategies, and alternative secondary school offerings);
2. Preparing for and succeeding in employment (including summer employment opportunities, paid and unpaid work experience, and occupational skills training);
3. Supporting youth (including supportive services needs, providing adult mentoring, follow-up services, and comprehensive guidance and counseling); and
4. Offering services intended to develop the potential of young people as citizens and leaders (including leadership development opportunities.)

WIA provides a variety of work preparation programs that can assist youth with disabilities in achieving their career ambitions. The potential is great for these programs to prepare eligible youth participants with disabilities for employment. These services need to be made available to young people with disabilities. Traditionally, however, they are not recruited to participate in these programs. WIA youth service providers may not be aware of the need to serve youth with disabilities in their communities and may lack the resources to develop strong partnerships and an equitable referral/assessment system.

Moreover, vocational rehabilitation agencies, special education agencies, and other agencies serving youth with disabilities may not be aware of the potential for coordinating resources with WIA-based programs. They may also be unaware of opportunities for creating mechanisms for such programs to cooperate and support young people with disabilities.

Currently, WIA-assisted youth programs report that difficulties in identifying the number of youth with non-visible disabilities who already participate in WIA-assisted youth programs hinders the long-term success of these young people. Because the disabilities of many youth go unidentified in WIA-assisted youth programs, the rate of their failure may be higher than for those whose disabilities are evident.

The U.S. Department of Labor has determined that youth programs must be strengthened to better serve young people with disabilities. ODEP's vision incorporates providing technical assistance and support designed to assist WIA-assisted youth programs to

increase the capacity of those programs to serve people with disabilities.

In order to accomplish this goal, a two-pronged approach will be used. This approach includes:

1. Awarding grants designed to demonstrate and further develop the capacity of WIA-assisted youth programs to serve youth with disabilities; and,
2. Maintaining a technical assistance program to support capacity building for various youth programs.

In combination, these activities contribute to achieving the goals of the President's "New Freedom Initiative".

This SGA is designed to further the first of these activities. The supporting national technical assistance program (the WIA Disability Technical Assistance Consortia for Adults and Youth) was established in October 2001 to help with the implementation of these demonstration grants.

### III. Purpose

This SGA supports model demonstration projects that develop, implement, evaluate, and disseminate new or improved approaches that generate knowledge, and promote best practices to WIA-assisted youth programs. Its purpose is to increase participation and improve results in those programs for young people with disabilities including those with hidden disabilities such as psychiatric disabilities, substance addiction, mental retardation, and learning disabilities.

For the purposes of this SGA, a youth with a disability is defined as a youth aged 14 to 21 years old who (1) has a physical or mental impairment that substantially limits one or more of his or her major life activities or; (2) has a record of such an impairment; or; (3) is regarded as having such an impairment.

The purpose of these demonstration projects is to help WIA-assisted youth programs develop their capacity to serve youth with disabilities. This capacity building will allow these programs to develop and further demonstrate strategies and techniques to increase the participation of youth with disabilities. These strategies and techniques can, in turn, serve as models for similar WIA-assisted youth programs. These projects will target youth both in- and out-of-school. As a result of these demonstrations, and associated technical assistance efforts, ODEP anticipates that all WIA-assisted youth programs will learn from and follow these examples. This should result in a system-wide increase in the successful participation of youth with disabilities in all WIA-assisted youth programs.

<sup>2</sup> U.S. Department of Education, National Center on Education Statistics, *The Condition of Education 2000* in Brief, Jeanne H. Nathanson NCES 2001-045, Washington, DC; U.S. Government Printing Office, 2001 U.S. Department of Education, Office of Special Education and Rehabilitation Services, *Twenty-second Annual Report to Congress on the Implementation of the Individuals with Disabilities Act*, Washington, DC, U.S. Government Printing Office, 2000.

Included in the objectives of these model demonstration projects is a goal of building upon and enhancing the integrated youth development approach envisioned under WIA, by incorporating knowledge of best practices developed through 15 years of research from the fields of rehabilitation, special education, maternal and child health, school-to-work, and youth development as discussed in Section IV of this SGA.

Projects are required to collaborate with the WIA Disability Technical Assistance Consortia for Adults and Youth (described above in the Background Section) designed to provide assistance to other WIA-assisted youth programs, in order to catalyze the systems changes outlined in the SGA.

#### IV. Statement of Work

This SGA seeks proposals from organizations that will implement demonstration projects designed to develop their WIA-assisted youth program's capacity to increase its services to youth with disabilities including those with non-visible disabilities such as psychiatric disabilities, substance addiction, mental retardation, and learning disabilities. The ultimate goal is to allow these programs to become leaders in developing and further demonstrating strategies and techniques to increase both the participation of and results for youth with disabilities.

These grants are designed to enable WIA-assisted youth programs to support those needed efforts to achieve improved service to youth with disabilities in their existing programs. Grant funds may not be used to provide direct service payments for youth with disabilities; existing funding is to be used for this purpose. Rather, these funds are intended to be used in ways which create system change or overall program improvements to enable youth programs to more successfully serve youth with disabilities.

Under this grant, grantees must serve at least 40 youth with disabilities each year or, if the program has fewer than 200 participants, at least 20% of them must be participants with disabilities.

Proposals must demonstrate how the grantee would develop, implement, evaluate, and disseminate new or improved approaches to the youth programs that generate knowledge and promote best practices, to increase participation, and improve results in those programs for young people with disabilities. In addition, grantees must participate in technical assistance efforts designed to disseminate to other programs their successful strategies and techniques for serving greater numbers

of youth with disabilities including those with non-visible disabilities.

All grantees must operate demonstration projects that integrate the four key themes and ten program elements of WIA-assisted youth programs, listed at WIA section 129(c)(2) (20 CFR 644.410) discussed above with one or more of the following best practice features:

1. Demonstrations focused on promoting effective structures, policies, and practices to improve results for youth with disabilities in WIA-assisted programs, including those with non-visible disabilities, in areas such as admission, enrollment, assessment, staff development, interagency coordination, etc.;

2. Demonstrations of effective service interventions and approaches that help young people with disabilities to overcome barriers to positive education and employment outcomes including such things as illicit drug use;

3. Demonstrations that focus on the link between academic and occupational skill standards; and on the integration of academic and applied learning in real work settings;

4. Demonstrations that focus on supporting and accommodating young people with disabilities in integrated, inclusive work, and work-preparation environments at all times, especially if their educational program has been delivered even partially in a segregated setting;

5. Demonstrations that focus on youth-centered planning and development (*e.g.*, assessment, choice, rights and responsibilities, life skills, drop out prevention strategies, paid and unpaid work experiences, leadership development, adult mentoring);

6. Demonstrations that focus on promoting physical and mental health, substance abuse prevention, and the link between health and positive educational and employment outcomes;

7. Demonstrations that focus on increasing the type of involvement by business, family, and community, that create effective connections to intermediaries with strong links to the job market and to local and regional employers;

8. Demonstrations which develop and leverage linkages with other state and local initiatives that provide services and supports for young people with significant disabilities. Such initiatives may include, but are not limited to, systems change efforts promoting enduring systems improvement and comprehensive coordination; health care; substance abuse prevention; housing; transportation; education; supported employment; small business

development; technology related assistance; private foundations; faith-based initiatives; and

9. Demonstrations that research alternative methods of measuring WIA performance outcomes that consider the various characteristics of people with disabilities, including those with non-visible disabilities.

Some examples of resources for information about WIA-assisted youth program components and these best practice features can be located on the following Web sites:

1. Employment and Training Administration (ETA) Office of Youth Services Web site: [www.doleta.gov/youth-services](http://www.doleta.gov/youth-services).

2. National Transition Alliance for Youth with Disabilities: [www.dssc.org/nta](http://www.dssc.org/nta).

3. The Department of Health and Human Services, Maternal and Child Health, "Healthy and Ready to Work" Web site: [www.mchbhrw.org](http://www.mchbhrw.org).

4. National Youth Employment Coalition, Program and Effective Practices Network (PEPNET) Web site: [www.nyec.org](http://www.nyec.org).

5. National Center on Secondary Education and Transition Web site: [www.ici.edu](http://www.ici.edu).

6. The National Collaborative on Workforce and Disability Web site: [www.ncwd-youth.info/ig.html](http://www.ncwd-youth.info/ig.html).

In addition, a model demonstration project must:

1. Provide a detailed management plan for project goals, objectives, and activities;

2. Describe how they plan to comply with the employment nondiscrimination and equal opportunity requirements of the various laws listed in the assurances section, and how they plan to meet the needs of individuals with disabilities from diverse cultures and/or racial and ethnic groups;

3. Use rigorous quantitative or qualitative evaluation methods and data;

4. Evaluate the model by using multiple measures of results to determine the effectiveness of the model and its components or strategies for continuous program improvements;

5. Produce detailed procedures and materials that would enable others to replicate the model;

6. Communicate with appropriate audiences through means such as technical assistance providers and disseminators, publications, conference presentations, and/or a web site. (If the project maintains a web site, it must include relevant information and documents in an accessible form); and

7. Collaborate with appropriate Federal and state agencies and

programs, such as the Department of Health and Human Services Maternal and Child Health Bureau, Children with Special Health Care Needs Program, Health Care Financing Administration, Substance Abuse and Mental Health Services Administration, Administration on Developmental Disabilities, Social Security Administration, and the Department of Education Office of Special Education and Rehabilitation Services.

Grantees must support the travel cost associated with sending at least one representative to the annual ODEP Grantees' training conference, to be held in Washington, DC.

The Department will arrange for an independent evaluation of outcomes, impacts, and benefits of the demonstration projects. Grantees must make records available to evaluation personnel, as specified by the evaluator(s) under the direction of the Department.

#### V. Funding Availability

The period of performance will be 24 months from the date of execution by the Government. Up to five (5) competitive grants will be awarded in the range of \$350,000 to \$500,000. It is expected that the funds used for this SGA will support the costs associated with the development, implementation, and evaluation of a model demonstration project for a youth program to significantly increase the numbers of young people with disabilities participating and benefiting from program activities. Projects can use the available funds to conduct a variety of activities to support these models, such as outreach, recruitment, staff training, strategic planning, assessment, curriculum/materials development, career development, student-focused planning, program alignment, partnership building, reasonable accommodations, etc. Youth programs are required to use existing funding to provide direct services to young people with disabilities.

#### VI. Eligible Applicants

To be eligible, applicants must be WIA grant recipients for a local area, fiscal agents for such grant recipients, Local Boards, and/or competitively selected eligible youth service providers. Each grantee must involve members of two specific groups in strategic planning and implementation activities: youth with disabilities, and relevant experts in the field of young people with disabilities (such as disability organizations, researchers, policy makers, employers, family members and/or family organizations,

independent living centers, or service providers.)

According to section 18 of the Lobbying Disclosure Act of 1995, an organization, as described in section 501(c)(4) of the Internal Revenue Code of 1986, that engages in lobbying activities will not be eligible for the receipt of federal funds constituting an award, grant, or loan. See 2 U.S.C. 1611; 26 U.S.C. 501(c)(4).

#### VII. Application Contents

**General Requirements**—Two copies and an original of the proposal must be submitted, one of which must contain an original signature. Proposals must be submitted by the applicant only. There are three required sections of the application. Requirements for each section are provided in this application package.

##### *Part I—Executive Summary*

The Executive Summary must be no more than 2 single-spaced pages in length giving a clear summary of the project narrative.

##### *Part II—Project Narrative— (Appendices: Letters of Commitment/ Support, Resumes, etc.)*

Applicants must include a project narrative that addresses the Statement of Work in Part IV of this notice and the selection criteria that are used by reviewers in evaluating the application.

You must limit the project narrative to the equivalent of no more than fifty (50) pages using the following standard. This page limit does not apply to Part I, the Executive Summary; Part III, the Project Financial Plan (Budget); and, the Appendices (the assurances and certifications, resumes, a bibliography or references, and the letters of support). A page is 8.5" x 11" (on one side only) with one-inch margins (top, bottom, and sides). All text in the application narrative, including titles, headings, footnotes, quotations, and captions, as well as all text in charts, tables, figures, and graphs must be double-spaced (no more than three lines per vertical inch); and, if using a proportional computer font, use no smaller than a 12-point font, and an average character density no greater than 18 characters per inch (if using a non-proportional font or a typewriter, do not use more than 12 characters per inch.)

Applicants must also include in Part II of the proposal a narrative that addresses all of the Evaluation Criteria (section VIII below) that will be used by reviewers in evaluating individual proposals.

Applicants shall collaborate with other research institutes, centers, and

studies and evaluations that are supported by DOL and other relevant Federal agencies.

##### *Part III Project Financial Plan (Budget)*

Applications must include a detailed financial plan that identifies by line item the budget plan designed to achieve the goals of this grant. The Financial Plan must contain the SF-424, Application for Federal Assistance, (Appendix A) and a Budget Information Sheet SF-424A (Appendix B).

In addition, the budget must include on a separate page a detailed cost analysis of each line item. Justification for administrative costs must be provided. Approval of a budget by DOL is not the same as the approval of actual costs. The individual signing the SF 424 on behalf of the applicant must represent and be able to legally bind the responsible financial and administrative entity for a grant should that application result in an award. The applicant must also include the Assurances and Certifications Signature Page (Appendix C).

#### VIII. Evaluation Criteria/Selection

##### *A. Evaluation Criteria*

The application must include appropriate information of the type described below.

##### *1. Significance of the Proposed Project (20 Points)*

In determining the significance of the proposed project, the Department considers the following factors:

a. The potential contribution of the proposed project to increase knowledge or understanding of problems, issues, or effective strategies for youth programs in serving young people with disabilities;

b. The extent to which the proposed project is likely to yield findings that may be used by other appropriate agencies and organizations;

c. The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;

d. The likely utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for the products' being used effectively in a variety of other settings;

e. The extent to which the promising practices of the proposed project are to be disseminated in ways that will enable others to use the information or strategies;

f. The potential replicability (national significance) of the proposed project or

strategies, including, as appropriate, the potential for implementation in a variety of settings; and,

g. The importance or magnitude of the results which are likely to be attained by the proposed project.

## 2. Quality of the Project Design (20 Points)

In evaluating the quality of the proposed project design, the Department considers the following factors:

a. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;

b. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population and other identified needs;

c. The extent to which the design of the proposed project can measure methods for recruiting and serving youth with disabilities each year;

d. The extent to which the proposal demonstration incorporates the four key themes identified in Part IV, Statement of Work;

e. The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of this grant;

f. The extent to which the design of the proposed project reflects a review of disability related literature, up-to-date knowledge from research and effective practice of youth-centered planning and youth development principles and approaches, and the use of appropriate methodological tools to ensure successful achievement of project objectives;

g. The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, state, and Federal resources;

h. The extent to which the applicant encourages involvement of young people with disabilities, relevant experts, and organizations in project activities; and,

i. The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

## 3. Quality of Project Personnel (15 Points)

The Project Narrative must describe the proposed staffing of the project and must identify and summarize the qualifications of the personnel who will carry it out. The projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. In addition, the

Department considers the qualifications, including relevant education, training and experience of key project personnel as well as the qualifications, including relevant training and experience of project consultants or subcontractors. Resumes must be included in the Appendices.

## 4. Adequacy of Resources (10 Points)

In evaluating the adequacy of resources for the proposed project, the Department considers the following factors:

a. The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;

b. The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;

c. The extent to which the budget is adequate to support the proposed project;

d. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project; and

e. The extent to which the applicant proposes to leverage other resources and funds, or to use these funds to leverage other funds.

The applicant may include letters of commitment from proposed partners in the Appendix.

## 5. Quality of the Management Plan (20 points)

In evaluating the quality of the management plan for the proposed project, the Department considers the following factors:

a. The extent to which the management plan for project implementation achieves the objectives of the proposed project on time and within budget, including clearly defined staff responsibilities, and time allocated to project activities, time lines, milestones for accomplishing project tasks and project deliverables;

b. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project; and,

c. The extent to which the time commitments of the project director and/or principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

## 6. Quality of the Project Evaluation (15 points)

In evaluating the quality of the project's evaluation design, the Department considers the following factors:

a. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, context, and outcomes of the proposed project;

b. The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies;

c. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data;

d. The extent to which the evaluation will provide information to other youth programs about effective strategies suitable for replication or testing in other settings; and,

e. The extent to which the methods of evaluation measure in both quantitative and qualitative terms, program results and satisfaction of youth with disabilities.

## B. Selection Criteria

Acceptance of a proposal and an award of federal funds to sponsor any program(s) is not a waiver of any grant requirement and/or procedures.

Grantees must comply with all applicable Federal statutes, regulations, administrative requirements and OMB Circulars. For example, the OMB circulars require, and an entity's procurement procedures must require, that all procurement transactions shall be conducted, as practical, to provide open and free competition. If a proposal identifies a specific entity to provide the services, the award does not provide the justification or basis to sole-source the procurement, i.e., to avoid competition.

Applications will be reviewed by a panel using the criteria described in this SGA. Applications will be ranked based on the score assigned by the panel after careful evaluation by each panel member. The ranking will be the primary basis to identify applicants as potential grantees. Although the Government reserves the right to award on the basis of the initial proposal submissions, the Government may establish a competitive range, based upon the proposal evaluation, for the purpose of selecting qualified applicants. The panel's conclusions are advisory in nature and not binding on the Grant Officer. The Government reserves the right to ask for clarification or hold discussions, but is not obligated to do so. The Government further reserves the right to select applicants out of rank order if such a selection would, in its opinion, result in the most effective and appropriate combination considering factors such as:

1. Findings of the grant technical evaluation panel
2. Geographic distribution of the competitive applications;
3. Assuring a variety of program designs; and,
4. The availability of funds.

#### IX. Reporting

Grantees must submit financial and participation reports under this program as prescribed by OMB Circulars A-102 and A-110 as applicable. *See also* 29 CFR parts 95 & 97. It is estimated that the quarterly program report will take five (5) hours to complete. These include:

1. Financial Reports;
2. Quarterly and Final Program Results and Reports on the Satisfaction of Youth with Disabilities;
3. Other Reporting (to Technical Assistance Service Providers, etc.), as prescribed by DOL.

#### X. Administrative Provisions

##### A. Administrative Standards and Provisions

Grants awarded under this SGA are subject to the following:

- 29 CFR Part 95—Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education.
- 29 CFR Part 96—Federal Standards for Audit of Federally Funded Grants, Contracts, and Agreements
- 29 CFR Part 97—Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

The grant awarded under this SGA shall be subject to the following:

##### B. Allowable Costs

Determinations of allowable costs are made in accordance with the following applicable Federal cost principles:

- State and Local Government—OMB Circular A-87
- Nonprofit Organizations—OMB Circular A-122
- Profit-making Commercial Firms—48 CFR Part 31

Profit will *not* be considered an allowable cost in any case.

##### C. Grant Non-Discrimination Assurances

Each applicant must include an assurance that, as a condition of the award, the applicant will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

- 29 CFR part 31—Nondiscrimination in Federally-assisted programs of the Department of Labor, effectuation of Title VI of the Civil Rights Act of 1964. (Title VI of the Civil Rights Act of 1964)
- 29 CFR part 32—Nondiscrimination on the Basis of Disability in Programs and Activities Receiving or Benefiting from Federal Assistance. (Section 504 of the Rehabilitation Act)
- 29 CFR part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance. (Title IX of the Education Amendments of 1972)
- 29 CFR part 37 Implementation of the Nondiscrimination and Equal Opportunity Provisions of the

Workforce Investment Act of 1998 (WIA)

The applicant must include the attached assurances and certifications.

##### D. Limitation on Administrative and Indirect Costs

1. Direct Costs for administration, plus any indirect charges claimed.
2. Indirect costs claimed by the applicant must be based on a federally approved rate. A copy of the negotiated, approved, and signed indirect cost negotiation agreement must be submitted with the application.
3. If the applicant does not presently have an approved indirect cost rate, a proposed rate with justification may be submitted. Successful applicants will be required to negotiate an acceptable and allowable rate with the appropriate DOL Regional Office of Cost Determination within 90 days of grant award.
4. Rates traceable and trackable through the State Workforce Agency's Cost Accounting System represent an acceptable means of allocating costs to DOL and, therefore, can be approved for use in grants to State Workforce Agencies.

Signed at Washington, DC, this 18th day of June, 2002.

**Lawrence J. Kuss,**  
*Grant Officer.*

APPENDIX A. Application for Federal Assistance, Form SF 424

APPENDIX B. Budget Information Sheet, Form SF 424A

APPENDIX C. Assurances and Certifications Signature Page

BILLING CODE 4510-CX-P

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED	Applicant Identifier
Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other(specify): _____		A. State    H. Independent School Dist. B. County    I. State Controlled Institution of Higher Learning C. Municipal    J. Private University D. Township    K. Indian Tribe E. Interstate    L. Individual F. Intermunicipal    M. Profit Organization G. Special District    N. Other (Specify) _____	
		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:	
b. Applicant	\$ .00	DATE _____	
c. State	\$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
f. Program Income	\$ .00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$ .00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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:   | Entry: | Item:  | Entry: |
|---|--------|--|--------|
| 1. Self-explanatory.  |        | 12. List only the largest political entities affected (e.g., State, counties, cities).   |        |
| 2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).  |        | 13. Self-explanatory.  |        |
| 3. State use only (if applicable).  |        | 14. List the applicant's Congressional District and any District(s) affected by the program or project.  |        |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  |        | 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 <i>only</i> 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. |        |
| 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.   |        | 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.  |        |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  |        | 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.  |        |
| 7. Enter the appropriate letter in the space provided.  |        | 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.)  |        |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:  |        |  |        |
| -- "New" means a new assistance award.  |        |  |        |
| -- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.  |        |  |        |
| -- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.  |        |  |        |
| 9. Name of Federal agency from which assistance is being requested with this application.   |        |  |        |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |        |  |        |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. |        |  |        |



OMB Approval No. 0348-0044

**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

**SECTION B - BUDGET CATEGORIES**

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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Standard Form 424A (Rev. 7-97)  
Prescribed by OMB Circular A-102

Previous Edition Usable

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	\$
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)				(e) Fourth
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

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**INSTRUCTIONS FOR THE SF-424A**

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**General Instructions**

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

**Section A. Budget Summary Lines 1-4 Columns (a) and (b)**

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

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

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

**Lines 1-4, Columns (c) through (g)**

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

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

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

**Section B Budget Categories**

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

**Line 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

**INSTRUCTIONS FOR THE SF-424A (continued)**

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

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

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

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

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

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

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

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

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

**Section F. Other Budget Information**

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

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

**Line 23** - Provide any other explanations or comments deemed necessary.

---

**ASSURANCES AND CERTIFICATIONS - SIGNATURE PAGE**

The Department of Labor will not award a grant or agreement where the grantee/recipient has failed to accept the ASSURANCES AND CERTIFICATIONS contained in this section. By signing and returning this signature page, the grantee/recipient is providing the certifications set forth below:

- A. Assurances - Non-Construction Programs
- B. Certifications Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions and Certifications Regarding Drug-Free/Tobacco-Free Workplace Requirements.
- C. Certification of Release of Information
- D. Applicant is not a 501 (c) (4) organization

APPLICANT NAME and LEGAL ADDRESS:

If there is any reason why one of the assurances or certifications listed cannot be signed, please explain. Applicant need only submit and return this signature page with the grant application. All other instructions shall be kept on file by the applicant.

---

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TITLE

---

APPLICANT ORGANIZATION

DATE SUBMITTED

**Please Note:** This signature page and any pertinent attachments which may be required by these assurances and certifications shall be attached to the applicant's Cost Proposal.

[FR Doc. 02-16099 Filed 6-25-02; 8:45 am]

BILLING CODE 4510-CX-C

## NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

[Notice (02-077)]

### NASA Advisory Council, Biological and Physical Research Advisory Committee, Space Station Utilization Advisory Subcommittee; Meeting

**AGENCY:** National Aeronautics and Space Administration.

**ACTION:** Notice of meeting.

**SUMMARY:** In accordance with the Federal Advisory Committee Act, Public Law 92-463, as amended, the National Aeronautics and Space Administration announces a meeting of the NASA Advisory Council, Biological and Physical Research Advisory Committee, Space Station Utilization Advisory Subcommittee (SSUAS).

**DATES:** Tuesday, July 9, 2002, 8 a.m. to 5 p.m., and Wednesday, July 10, 2002, 8 a.m. to 5 p.m., and Friday, July 12, 2002, 8 a.m. to 5 p.m.

**ADDRESSES:** Center for Advanced Space Studies, 3600 Bay Area Boulevard, Houston, Texas.

**FOR FURTHER INFORMATION CONTACT:** Dr. Neal Pellis, Code UM, National Aeronautics and Space Administration, Houston, TX 77058, (202) 358-2022.

**SUPPLEMENTARY INFORMATION:** The meeting will be open to the public up to the seating capacity of the room. Advance notice of attendance to the Executive Secretary is requested. The agenda for the meeting will include the following topics:

- Research Operations
- Writing Assignments
- Response to Prior Recommendations
- Operations and Integration Improvements
- Special Topics
- Recommendations

The following items are not part of the SSUAS Summer Workshop, but are scheduled consecutively with it.

- International Forum on the Scientific Uses of Space Station Meeting on Friday, July 12, 2002, afternoon
- Meeting on the International Space Station Utilization Management Concept Development on Thursday, July 11, 2002, all day

It is imperative that the meeting be held on this date to accommodate the scheduling priorities of the key

participants. Visitors will be requested to sign a visitor's register.

Dated: June 20, 2002.

**Sylvia K. Kraemer,**

*Advisory Committee Management Officer,  
National Aeronautics and Space  
Administration.*

[FR Doc. 02-16048 Filed 6-25-02; 8:45 am]

BILLING CODE 7510-1-M

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-46091; File No. 4-208]

### Intermarket Trading System; Notice of Filing of the Nineteenth Amendment to the ITS Plan Relating to the Philadelphia Stock Exchange, Inc.'s Implementation of a Remote Specialist Program

June 19, 2002.

Pursuant to Section 11A of the Securities Exchange Act of 1934 ("Act"),<sup>1</sup> and Rule 11A3a3-2 thereunder,<sup>2</sup> notice is hereby given that on May 3, 2002, the Intermarket Trading System Operating Committee ("ITSOC") submitted to the Securities and Exchange Commission ("Commission") a proposed amendment ("Nineteenth Amendment") to the restated ITS Plan.<sup>3</sup> The purpose of the proposed plan amendment is to recognize the Phlx's implementation of a remote specialist program. The Commission is publishing this notice to solicit comment on the proposed amendment from interested persons.

#### I. Description of the Amendment

The ITSOC proposes to amend the ITS Plan to recognize the Phlx's implementation of its remote specialist program.<sup>4</sup> Specifically, the ITSOC proposes to amend Sections 1

<sup>1</sup> 15 U.S.C. 78k-1.

<sup>2</sup> 17 CFR 240.11Aa3-2.

<sup>3</sup> The ITS is a National Market System ("NMS") plan, which was designed to facilitate intermarket trading in exchange-listed equity securities based on current quotation information emanating from the linked markets. See Securities Exchange Act Release No. 19456 (January 27, 1983), 48 FR 4938 (February 3, 1983).

The ITS Participants include the American Stock Exchange LLC (Amex"), the Boston Stock Exchange, Inc. ("BSE"), the Chicago Board Options Exchange, Inc. ("CBOE"), the Chicago Stock Exchange, Inc. ("CHX"), the Cincinnati Stock Exchange, Inc. ("CSE"), the National Association of Securities Dealers, Inc. ("NASD"), the New York Stock Exchange, Inc. ("NYSE"), the Pacific Exchange, Inc. ("PCX"), and the Philadelphia Stock Exchange, Inc. ("Phlx") ("Participants").

<sup>4</sup> See Securities Exchange Act Release No. 45184 (December 21, 2001), 67 FR 622 (January 4, 2002) (order approving SR-Phlx-2001-98).

("Definitions"), 6(a)(i)(A) ("Receipt of Quotations"), 6(a)(ii) ("Description of ITS Transactions"), and 8(a) ("System Access") of the ITS Plan to include references regarding the premises of Phlx Remote Specialists on which ITS stations are located, and define the terms "Phlx Remote Specialist,"<sup>5</sup> "Phlx Registered Specialist,"<sup>6</sup> and "Phlx Designated Specialist."<sup>7</sup>

#### II. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed Plan amendment is consistent with the Act. Persons making written submissions should file six copies thereof with the Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. Copies of the submission, all subsequent amendments, all written statements with respect to the proposed Plan amendment that are filed with the Commission, and all written communications relating to the proposed Plan amendment between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for inspection and copying in the Commission's Public Reference Room. Copies of such proposed Plan Amendment will also be available for inspection and copying at the principal office of the ITS. All submissions should refer to File No. 4-208 and should be submitted by July 17, 2002.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.<sup>8</sup>

**Margaret H. McFarland,**

*Deputy Secretary.*

[FR Doc. 02-16065 Filed 6-25-02; 8:45 am]

BILLING CODE 8010-01-P

<sup>5</sup> The term "Phlx Remote Specialist" is defined in the proposed amendment as a Phlx Registered Specialist who is authorized by Phlx Rule 461 to conduct his/her regular specialist trading activities at remote locations off the floor of the Phlx.

<sup>6</sup> The term "Phlx Registered Specialist" is defined in the proposed amendment as a Phlx member who has been appointed and registered pursuant to Phlx Rule 202 to act as a market maker in one or more System securities.

<sup>7</sup> The term "Phlx Designated Specialist" is defined in the proposed amendment as a Phlx Registered Specialist appointed by the Phlx to coordinate the handling of commitments to trade received by the Phlx.

<sup>8</sup> 17 CFR 200.30-3(a)(29).