

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Office of Community Services

[PROGRAM ANNOUNCEMENT NO. OCS-96-03]

Request for Applications Under the Office of Community Services' Fiscal Year 1996 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 1996 Job Opportunities for Low-Income Individual (JOLI) Program (Demonstration Projects).

SUMMARY: The Administration for Children and Families (ACF), Office of Community Services (OCS), announces that, based on availability of funds, 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 DATE: The closing date for receipt of applications is August 2, 1996. (See Part V B. Application Submission)

FOR FURTHER INFORMATION CONTACT: Office of Community Services, Administration for Children and Families, 370 L'Enfant Promenade S.W., Washington, D.C. 20447. Contact: Nolan Lewis (202) 401-5282; Richard Saul (202) 401-9341; Michelle Brookens (202) 401-1466.

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 Senate Report No. 104-236, 104th Congress, 2nd Session, to accompany S. 1594, consolidates funding for job creation demonstration activities authorized under section 505 of the Family Support Act of 1988, Pub. L. 100-485, as amended, with the Community Economic Development Program in the Office of Community Services. Section 505 of the Family Support Act of 1988 authorizes the Secretary of HHS 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, reauthorized Section 505 of the Family Support Act of 1988 through Fiscal Year 1996, and amended subsection (e) so as to change the project period from three to six years. (See Part II, below.)

B. 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 (that

eighty hours of training is 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.

C. 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 or 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 receiving AFDC or its equivalent under State auspices; those who are unemployed; those residing in public housing or receiving housing assistance; and those who are homeless.

Part II—Background Information and Program Requirements

A. 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. Failure to provide evidence of Section 501(c) (3) or (4) tax exempt status will result in rejection of the application.

B. Project and Budget Periods

As noted above, the Social Security Act Amendments of 1994 which reauthorized the JOLI program also lengthened the project duration from a 3-year period to a 6-year period. The six year project period applies only to grant awards made in Fiscal Year 1995 and thereafter. However, as in Fiscal Year 1995, grants made pursuant to this announcement will be for "budget periods of three years", covering the basic work program. 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. Continuation grants will be for a modest amount commensurate with the reduced level of effort, and subject to: (1) The availability of funds, (2) satisfactory progress of the grantee, and (3) determination by OCS that this would be in the best interest of the government.

C. Availability of Funds and Grant Amounts

Approximately \$5,000,000 is available in FY 1996 for new grants pursuant to this Announcement. The Office of Community Services expects to award no less than 5 and no more than 10 grants to selected organizations by September 30, 1996. Grants will be for a maximum of \$500,000 each for the first 36-month budget period.

D. 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, Element V.)

E. 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, D.C. 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.

F. 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.

G. 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 1996 JOLI funds pursuant to this

announcement (Program areas 1.0 and 2.0).

H. Re-funding

OCS will not re-fund a previously funded grantee to conduct the same demonstration in the same target area.

I. Sub-Contracting or Delegating Projects

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

J. 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 III—Application Requirements and Priority Areas

A. Program Focus

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)].

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.

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

1. *Local Initiative.* In the spirit of "local initiative" OCS looks forward to innovative proposals that grow out of the experience and creativity of applicants and the needs of their clientele and communities.

Applicants should include strategies which seek to integrate projects financed and jobs created under this program into a larger effort of broad community revitalization which will promote job and business opportunities

for eligible program participants and impact the overall economic environment.

OCS will only fund projects that create new employment and/or business opportunities for eligible program participants. That is, new full-time permanent jobs through the expansion of a pre-identified business or new business development, or by providing opportunities for self-employment. In addition, projects should enhance the participants' abilities and skills and thus contribute to their progress toward self-sufficiency.

2. *Some Suggested Areas That Can Provide Jobs and Careers for AFDC Recipients In Response to Welfare Reform.* With national Welfare Reform on the horizon, and many States already implementing "welfare-to-work" programs, the need for well-paying jobs with career potential for AFDC recipients becomes ever more pressing. In this context, the role of JOLI as a vehicle for exploring new and promising areas of employment opportunity for the poor is more important than ever.

Within the JOLI Program framework of job creation through new or expanding businesses or self-employment, OCS would welcome proposals offering business or career opportunities to eligible participants in a variety of fields. For instance, these might include Day Care, which is not only an opportunity for employment, but when not available can be a serious barrier to employment for AFDC recipients; Environmental Justice initiatives involving activities such as toxic waste clean-up, water quality management, or Brownfields remediation; health-related jobs such as Home Health Aides or medical support services; and non-traditional jobs for women and minorities.

For example, as in FY 1995, OCS is again interested in funding projects which seek to create non-traditional employment opportunities for women and minorities in highway construction and maintenance, an industry in which a serious worker shortage is expected in many parts of the country. As noted below, OCS has determined that these non-traditional employment opportunities in highway construction meet the job creation requirements of the JOLI program.

Approximately \$20 billion a year goes to States for highway construction and repair, creating over 270,000 jobs with State Highway Agencies and more than 500,000 jobs with contractors. The Office of Civil Rights of the Federal Highway Administration (FHWA), in conjunction with the Department of

Labor and the Women's Bureau, is seeking ways to increase participation by minorities and women in this growing labor market, and is prepared to assist applicants in contacting appropriate State transportation officials to explore establishing agreements with State and local officials, Labor Unions, and Contracting Associations. 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 M.)

B. Creation of Jobs and Employment Opportunities

The requirement for creation of new, full-time permanent employment opportunities (jobs) applies to all applications. OCS has determined that creation of non-traditional job opportunities for women and minorities in highway construction and maintenance meets the requirements of the JOLI legislation for the creation of new employment opportunities. OCS continues to solicit other 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.

Proposed projects must show that the jobs and/or business/self employment opportunities to be created under this program will contribute to achieving self-sufficiency among the target population. The employment opportunities should provide hourly wages that exceed the minimum wage and also provide benefits such as health insurance, child care, and career development opportunities.

C. Cooperative Partnership Agreement with State IV-A Agency (JOBS Program)

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.)

D. 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.

E. Economic Development Strategy

As noted above, the Congress, in the Conference Report on the FY 1992 appropriation, directed ACF to require economic development strategies as part of the application process for JOLI to ensure that highly qualified organizations participate in the demonstration. Accordingly, 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 Part IV, Sub-Element III(b).)

F. Training and Support for Micro-Business Development

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: (1) Technical assistance in basic business planning and management concepts, (2) assistance in preparing a business plan and loan application, and (3) access to business loans.

G. Training for JOBS Eligible Participants

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 those 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.

H. Technical Assistance to Employers

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 in areas such as job-readiness, literacy and other basic skills training, job preparation, self-esteem building, etc. Financial assistance may be provided to the private employer as well as to 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.

I. Applicant Experience and Cost-Per-Job

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, Sub-Element III(c))

J. Loan Funds

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, Element V.) 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.)

K. Dissemination of Project Results

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. Final Project Reports should include a description of dissemination activities with copies of any materials produced.

L. General Projects 1.0 and Community Development Corporations Set-Aside 2.0

The Office of Community Services expects to award approximately \$5 million by September 30, 1996 for new grants under this announcement: \$4 million for General Projects 1.0, and \$1 million set-aside for Community Development Corporations 2.0. (For definition of Community Development Corporation, see Part I, Section B.)

The same purposes, requirements and prohibitions are applicable to proposals submitted under both General Projects 1.0 and Community Development Corporations Set-Aside 2.0.

Applications for the 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 IV—Application Elements and Review Criteria

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.

The ultimate goals of the projects to be funded under the JOLI Program are: (1) To achieve, through project activities and interventions, the creation of employment opportunities for AFDC recipients and other low-income individuals which can lead to economic self-sufficiency of members of the communities served; (2) to evaluate the effectiveness of these interventions and of the project design through which they were implemented; and (3) thus to make possible the replication of successful programs. As noted here, OCS intends to make the awards of all the above grants on the basis of brief, concise applications. The elements and format of these applications, along with the review criteria that will be used to evaluate them, will be outlined in this Part.

In order to simplify the application preparation and review process, OCS seeks to keep grant proposals cogent and brief. Applications with project narratives (excluding appendices) of more than 30 letter-sized pages of 12 c.p.i. type or equivalent on a single side will not be reviewed for funding. Applicants should prepare and assemble their project description using the following outline of required project elements. They should, furthermore, build their project concept, plans, and application description upon the guidelines set forth for each of the project elements.

For each of the Project Elements or Sub-Elements below there is at the end of the discussion a suggested number of pages to be devoted to the particular element or sub-element. These are suggestions only; but the applicant must remember that the overall Project Narrative cannot be longer than 30 pages.

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

(1) Incorporate each of the Elements and Sub-Elements below into their proposals, so as to:

(2) Describe convincingly a project that will develop new employment or business opportunities for AFDC recipients and other low income individuals that can lead to a transition from dependency to economic self-sufficiency; and

(3) Provide for the testing and evaluation of the project design, implementation, and outcomes so as to make possible replication of a successful program.

Element I: Organizational Experience in Program Area and Staff Skills, Resources and Responsibilities

(Total Weight of 0–20 points in proposal review)

Sub-Element I(a). Agency's Experience and Commitment in Program Area

(Weight of 0–10 points in proposal review)

Applicants should cite their organization's capability and relevant experience in developing and operating programs which deal with poverty problems similar to those to be addressed by the proposed project. They should also cite the organization's experience in collaborative programming and operations which involve evaluations and data collection. Applicants should identify agency executive leadership in this section and briefly describe their involvement in the proposed project and provide assurance of their commitment to its successful implementation.

The application should include 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. The application should note and justify the priority that this project will have within the agency including the facilities and resources that it has available to carry it out. Applicants should use no more than 2 pages for this Sub-Element.

[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.]

Sub-Element I(b). Staff Skills, Resources and Responsibilities

(Weight of 0–10 points in proposal review)

The application must identify the two or three individuals who will have the

key responsibility for managing the project, coordinating services and activities for participants and partners, and for 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. [See Element IV, Project Evaluation, below, for fuller discussion of Evaluator qualifications.]

Actual resumes of key staff and position descriptions should be included in an Appendix to the proposal.

Applicants should use no more than 3 pages for this Sub-Element.

Element II. Project Theory, Design, and Plan

(Total Weight of 0–30 points in proposal review)

OCS seeks to learn from the application why and how the project as proposed is expected to lead to the creation of new employment opportunities for low-income individuals which can lead to significant improvements in individual and family self-sufficiency.

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

Sub-Element II(a). Description of Target Population, Analysis of Need, and Project Assumptions

(Weight of 0–10 points in application review)

The project design or plan should begin with identifying the underlying assumptions about the program. These are the beliefs on which the proposed program is built. The assumptions about the needs of the population to be served; about the current services available to that population, and where and how they fail to meet their needs; about why the proposed services or interventions are appropriate and will meet those needs; and about the impact the proposed interventions will have on the project participants.

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

In this sub-element of the proposal the applicant should precisely identify the target population to be served. The geographic area to be impacted should then be briefly highlighted, selectively emphasizing the socioeconomic/poverty and other data that are relevant to the project design.

The application should include 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, lack of suitable clothing or equipment, 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 (high unemployment rate); lack of public transportation; lack of markets; unavailability of financing, insurance or bonding; inadequate social services (employment service, child care, job training); 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, or remove one or more of the barriers so identified, this fact should be highlighted in the discussion.

Applicants should use no more than 3 pages for this Sub-Element.

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

(Weight of 0–10 points in proposal review)

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

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

The applicant should describe the major activities, or interventions, which are to be carried out to address the needs and problems identified in Sub-Element II(a); and should discuss the immediate changes, or outcomes, which are expected to result. These are the results expected from each service or intervention immediately after it is provided. For example, a job readiness training program might be expected to result in clients having increased knowledge of how to apply for a job, improved grooming for job interviews, and improved job interview skills; or business training and training in bookkeeping and accounting might be expected to result in project participants making an informed decision about whether they were suited for entrepreneurship.

At the next level are the intermediate outcomes which result from these immediate changes. Often an intermediate project outcome is the result of several immediate changes resulting from a number of related interventions such as training and counseling. Intermediate outcomes should be expressed in measurable changes in knowledge, attitudes, behavior, or status/condition. In the above examples, the immediate changes achieved by the job readiness program,

coupled with technical assistance to an employer in the expansion of a business could be expected to lead to intermediate outcomes of creation of new job openings and the participant applying for a job with the company. The acquisition of business skills, coupled with the establishment of a loan fund, could be expected to result in the actual decision to go into a particular business venture or seek the alternative track of pursuing job readiness and training.

Finally, the application should describe how the achievement of these intermediate outcomes will be expected to lead to the attainment of the project goals: employment in newly created jobs, new careers for women in non-traditional jobs in Highway construction and maintenance, successful business ventures, or employment in an expanded business, depending on the project design. Applicants must remember that if the major focus of the project is to be the development and start-up of a new business or the expansion of an existing business, then a Business Plan which follows the outline in Attachment L to this announcement must be submitted as an Appendix to the Proposal.

Applicants don't have to use the exact terminology described above, but it is important to describe the project in a way that makes clear the expected cause-and-effect relationship between what the project plans to do—the activities or interventions, the changes that are expected to result, and how those changes will lead to achievement of the project goals of new employment opportunities and greater self-sufficiency. The competitive review of this Sub-Element will be based on the extent to which the application makes a convincing case that the activities to be undertaken will lead to the projected results.

The Applicant should use no more than 4 pages for this Sub-Element.

Sub-Element II(c). Work Plan

(Weight of 0–10 points in proposal review)

Once the project strategy and design framework are established, the applicant should present the highlights of a work plan for the project. The plan should explicitly tie into the project design framework and should be feasible, i.e., capable of being accomplished with the resources, staff, and partners available. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Critical issues or potential problems that might affect the achievement of project objectives

should be explicitly addressed, with an explanation of how they would be overcome, and how the objectives will be achieved notwithstanding any such problems. The plan should be presented in such a way that it can be correlated with the budget narrative included earlier in the application.

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

The applicant should use no more than 3 pages for this Sub-Element.

Element III. Significant and Beneficial Impact

(A total weight of 0–20 points in proposal review)

Sub-Element III(a). Quality of Jobs/Business Opportunities

(Weight of 0–10 points in proposal review)

The proposed project is expected to produce permanent and measurable results that will reduce the incidence of poverty in the community and lead welfare recipients from welfare dependency toward economic self-sufficiency. Results are expected to be quantifiable in terms of: the creation of permanent, full-time jobs; the development of business opportunities; the expansion of existing businesses; or the creation of non-traditional employment opportunities in highway construction and maintenance. 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 should document 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. For example, they should provide salaries that exceed the minimum wage, plus benefits such as health insurance, child care and career development opportunities.

The applicant should use no more than 3 pages for this Sub-Element.

Sub-Element III(b) Community Empowerment Consideration

(Weight of 0–5 points in proposal review)

Special consideration will be given to applicants who are located in areas which are characterized by poverty and other indicators of socio-economic distress such as a poverty rate of at least 20%, designation as an Empowerment Zone or Enterprise Community, high levels of violence, gang activity, crime, or drug use. (0–3 points)

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 and the employment opportunities it will create support the goal(s) of that plan. (0–2 points)

The applicant should use no more than 2 pages for this Sub-Element.

Sub-Element III(c). Cost-per-Job

(Weight of 0–5 points in proposal review)

The application should document that 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. The cost-per-job should be calculated by dividing the total amount of grant funds requested (e.g. \$420,000) by the number of jobs to be created (e.g. 60) which would equal the cost-per-job (\$7,000). If any other calculations are used, include the methodology and rationale in this section. In making calculations of cost-per-job, only jobs filled by low-income project participants may be counted. (See Part III, Section I.)

(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.)

The applicant should use no more than 1 page for this Sub-Element.

Element IV. Project Evaluation

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

Sound evaluations are essential to the JOLI Program. OCS requires applicants to include in their applications a well thought through outline of an evaluation plan for their project. The outline should explain how the applicant proposes to answer the key questions about how effectively the project is being/was implemented (the Process Evaluation) and whether the project activities, or interventions, achieved the

expected outcomes and goals of the project, and what those outcomes were (the Outcome Evaluation). Together, the Process and Outcome Evaluations should answer the question "why did this program work/not work?".

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

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

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

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

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

For these reasons 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, and 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 in the job creation field, and have a thorough understanding of the range and complexity of the problems faced by the target population.

The competitive procurement regulations (45 CFR Part 74, Sections 74.40–74.48, esp. 74.43) apply to service contracts such as those for evaluators.

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

Element V. Public-Private Partnerships

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

The proposal should briefly describe the public-private partnerships which will contribute to the implementation of the project. Where partners' contributions to the project are a vital part of the project design and work program, the narrative should describe undertakings of the partners, and a partnership agreement, specifying the roles of the partners and making a clear commitment to the fulfilling of the partnership role, must be included in an Appendix to the Proposal. The application should meet the following criteria:

—All JOLI applications must include a signed cooperative partnership agreement with the State IV–A Agency, which administers the JOBS Program, or a letter of commitment to such an agreement within six months of a grant award, contingent only on receipt of OCS funds. This cooperative partnership agreement must fully describe the activities and services to be provided which must clearly relate to the objectives of the proposed project. The activities should include one or more of the mandatory or optional components of the State's JOBS program as described in Part III, Section C.

—In the case of projects involved in the creation of non-traditional employment opportunities in highway construction and maintenance, the agreements with the appropriate partners (e.g., highway departments, contractors, unions or businesses) should clearly identify the undertakings of each partner in terms of training, support, apprenticeships and/or career opportunities, and the like.

—The application should document that public and/or private sources of cash and/or third-party in-kind contributions will be available through a letter of commitment from

the partner(s). Applications that can document dollar for dollar contributions equal to the OCS funds and demonstrate that the partnership agreement clearly relates 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.

—Partners involved in the proposed project should be responsible for substantive project activities and services. Applicants should note that partnership relationships are not created via service delivery contracts.

The applicant should use no more than 4 pages for this proposal Element.

Element VI. Budget Appropriateness and Reasonableness

(Weight of 0–5 points in proposal review)

Applicants are required to submit Federal budget forms with their proposals to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (424A). (See Part VI) In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Narrative, or explanatory budget information which should include a detailed budget breakdown for each of the budget categories in the SF-424A. This Budget Narrative is not considered a part of the Project Narrative, and does not count as part of the thirty pages; but rather is included in the application following the budget forms. (Attachment B)

At the same time, applicants may wish to provide a brief highlight of the Budget and Budget Narrative at this point in the Project Narrative.

Funds requested in the budget must be reasonably commensurate with the level of effort necessary to accomplish the goals and objectives of the project, and the budget narrative should briefly explain how grant funds will be expended and show the adequacy of the Federal funds and any mobilized resources to accomplish project purposes. It should also identify and briefly explain any imbalances between level of activities undertaken and project funds expended. The estimated cost to the government of the project should be reasonable in relation to the anticipated results; and include reasonable administrative costs, if an indirect cost rate has not been negotiated with the cognizant Federal agency.

Resources in addition to OCS grant funds are encouraged both to augment

project resources and to strengthen the basis for continuing partnerships to benefit the target community. The amounts of such resources, their appropriateness to the project design, and the likelihood that they will continue beyond the project time frame will be taken into account in judging the application.

Applicants should include funds in the project budget for travel by Project Directors and Chief Evaluators to attend two national evaluation workshops in Washington, DC. (See Part VIII, Evaluation Workshops.)

Applicant should use no more than 2 pages (in the Project Narrative) for this Sub-Element.

Part V—Application Procedures and Selection Process

A. Availability of Forms

Attachment C contains all of the standard forms necessary for the application for awards under this OCS program. These forms may be photocopied for the application. This announcement and the attachments to it contain all of the instructions required for submittal of applications.

Copies of the Federal Register containing this announcement are available at most local libraries and Congressional District Offices for reproduction. This announcement is also 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, you may write or telephone the office listed at the beginning of this announcement under the section entitled **FOR FURTHER INFORMATION**.

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

Part IV contains instructions for the substance and development of the project narrative. Part VII, Section A describes the contents and format of the application as a whole.

B. Application Submission

The closing time and date for receipt of applications is 4:30 p.m. (Eastern Time Zone) on August 2, 1996. Applications received after 4:30 p.m. will be classified as late.

Deadline: Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at the U.S. Department of Health and Human

Services, Administration for Children, and Families, Office of Program Support, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Mail Stop 6C-462, Washington, DC 20447; Attention: Application for JOLI Program. Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date.

Applications hand carried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m., at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mail Room, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, SW., Washington, DC 20024, between Monday and Friday (excluding Federal holidays). (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

ACF cannot accommodate transmission of applications by fax or through other electronic media. Therefore, applications transmitted to ACF electronically will not be accepted regardless of date or time of submission and time of receipt.

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

Extension of deadline: ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., or when there is widespread disruption of the mails. However, if ACF does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

Applications once submitted are considered final and no additional materials will be accepted. One signed original application and four copies should be submitted at the time of initial submission.

C. Paperwork Reduction Act of 1980

Under the Paperwork Reduction Act of 1980, Public Law 96-511, the Department is required to submit to OMB for review and approval any reporting and record keeping requirements in regulations, including program announcements. This program announcement does not contain information collection requirements beyond those approved for ACF grant

applications under OMB Control Number 0970-0062.

D. Intergovernmental Review

This program is covered under Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services 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, Massachusetts, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, 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 twenty-one 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 differentiate clearly 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, S.W., 6th Floor, Washington, D.C. 20447.

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

E. Application Consideration

Applications that meet the screening requirements below will be reviewed competitively. Such applications will be referred to reviewers for numerical scoring 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. 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 of applications; previous program performance of applicants; the limitation on project continuation or refunding (see Part II, Section H); the number of previous JOLI grants made to applicant; compliance with grant terms under previous HHS 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 verify the applicant's performance record and the documents submitted.

F. Criteria for Screening Applicants

All applications that meet the published deadline requirements as provided in this program announcement will be screened for completeness and conformity with the requirements. Only complete applications that meet the requirements listed below will be reviewed and evaluated competitively. Other applications will be returned to the applicants with a notation that they were unacceptable and will not be reviewed.

The following requirements must be met by all applications:

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 C and D, 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 30 pages, typewritten on one side of the paper only with one-inch margins and type face no smaller than 12 characters per inch (cpi) or equivalent. The Budget Narrative, Charts, exhibits, resumes, position descriptions, letters of support, Cooperative Agreements, and Business Plans (where required) are not counted against this page limit.

It is strongly recommended that applicants follow the format and content for the narrative set out in Part IV.

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.

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).

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

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 (Attachments B and C) as modified by 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 (1.0 or 2.0). An application should be submitted under only one priority area.

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 (third line from the top).

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

Item 7. Enter N in the box and specify non-profit corporation on the line marked Other.

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

Item 10. The Catalog of Federal Domestic Assistance number for OCS programs covered under this announcement is 93.593. The title is "Job Opportunities for Low-Income Program".

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 13. Proposed Project—The ending date should be calculated on the basis of a 72-month project period.

Item 15a. This amount should be no greater than \$500,000.

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

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

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, and C of SF-424A should reflect budget estimates for the first three year budget period of the project.

Section A—Budget Summary

You need only fill in lines 1 and 5 (with the same amounts) Col. (a): Enter Job Opportunities for Low-Income Program. Col. (b): Catalog of Federal Domestic Assistance number is 93.593. Col. (c) and (d): not relevant to this program. Column (e)-(g): enter the appropriate amounts (column e should not be more than \$500,000.)

Section B—Budget Categories

(Note that the following information supersedes the instructions provided with the Form SF-424A in Attachment C.) Columns (1)–(5): For each of the relevant Object Class Categories:

Column 1: Enter the OCS grant funds for the first year;

Column 2: Enter the OCS grant funds for the second year;

Column 3: Enter the OCS grant funds for the third year;

Column 4: Leave blank.

Column 5: Enter the total federal OCS grant funds for the three year budget period by Class Categories, showing a total budget of not more than \$500,000.

Note: With regard to Class Categories, only out-of-town travel should be entered under Category c. Travel. Local travel costs should be entered under Category h. Other. Equipment costing less than \$5000 should be included in Category e. Supplies.

Section C Non-Federal Resources should be completed in accordance with the instructions provided.

Sections D, E, and F may be left blank.

A supporting Budget Narrative must be submitted providing details of expenditures under each budget category, and justification of dollar amounts which relate the proposed expenditures to the work program and goals of the project. (See Part IV, Element VI)

C. SF-424B Assurances—Non-Construction

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

Part VII—Contents of Application and Receipt Process

A. Contents 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. Certifications and Assurance Required for Non-Construction Programs, as follows:

Applicants requesting financial assistance for a non-construction project must file the Standard Form 424B, "Assurances: Non-Construction Programs". Applicants must sign and return the Standard Form 424B with their applications.

Applicants must provide a certification concerning Lobbying. Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification. Applicants must sign and return the certification with their application.

Applicants must make the appropriate certification of their compliance with the Drug-Free Workplace Act of 1988. By signing and submitting the applications, applicants are providing the certification and need not mail back the certification with the applications.

Applicants must make the appropriate certification that they are not presently debarred, suspended or otherwise ineligible for award. By signing and submitting the applications, applicants are providing the certification and need not mail back the certification with the applications.

Copies of the certifications and assurance are located at the end of this announcement.

6. 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 (no signature required on form).

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

8. A Project Narrative of no more than 30 pages, consisting of the Elements described in Part IV of this Announcement set forth in the order there presented; preceded by a consecutively numbered Table of Contents (not to be counted as part of the 30 pages).

9. Appendices—proof of non-profit tax-exempt status as outlined in Part II, Section A; 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 franchised, where applicable; partnership agreement with State IV-A (JOBS Program) agency; Single Point of Contact comments, if applicable; resumes and position descriptions; a Business Plan, where required; and the Maintenance of Effort Certification.

The total number of pages for the narrative portion of the application package must not exceed 30 pages, excluding Appendices and Narrative Table of Contents.

Pages should be numbered sequentially throughout, including 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 30 page limit.

B. Application Format

Applications must be uniform in composition since OCS may find it necessary to duplicate them for review purposes. Therefore, applications must be submitted on white 8½×11 inch paper only. Applications must not include colored, oversized or folded materials. Applications should not include organizational brochures or other promotional materials, slides, films, clips, etc. in the proposal. Such materials will not be reviewed and will be discarded if included.

Applications must not be bound or enclosed in loose-leaf binder notebooks. Preferably, applications should be two-holed punched at the top center and fastened separately with a compressor slide paper fastener, or a binder clip.

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

C. Acknowledgement of Receipt

Applicants who meet the initial screening criteria outlined in Part V, Section E, 1, will receive within ten days after the deadline date for submission of applications an acknowledgement with an assigned identification number. Applicants are requested to supply a self-addressed mailing label with their application which can be attached to this acknowledgement notice. 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

A. Notification of Grant Award

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.

B. Attendance at Evaluation Workshops

Project directors and chief evaluators will be required to attend two national

evaluation workshops in Washington, D.C. A three-day 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 three-day evaluation workshop on utilization and dissemination to be held at the end of the project period. Project budgets must include funds for travel to and attendance at these workshops. (See Part IV, Element VI, Budget Appropriateness and Reasonableness.)

C. Reporting Requirements

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. An interim evaluation report, along with a written policies and procedures manual based on the findings of the process evaluation, will be due 30 days after the first eighteen 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.

D. Audit Requirements

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

E. Prohibitions and Requirements with regard to Lobbying

Section 319 of Public Law 101-121, signed into law on October 23, 1989, imposes 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.

F. Applicable Federal Regulations

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

Dated: May 24, 1996.
Thornell Page,
Executive Assistant to the 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

1995 POVERTY INCOME GUIDELINES FOR ALL STATES (EXCEPT ALASKA AND HAWAII) AND THE DISTRICT OF COLUMBIA—Continued

Size of family unit	Poverty guideline
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 \$2,580 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 increments 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 increments applies to smaller family sizes also, as can be seen in the figures above.)

BILLING CODE 4184-01-P

OMB Approval No. 0348-0043

2. DATE SUBMITTED	Applicant Identifier
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 the person to be contacted on matters involving this application (give area code)																					
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> 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) _____																					
8. TYPE OF APPLICATION: <div><input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision</div> <div>If Revision, enter appropriate letter(s) in boxes: <input type="checkbox"/> <input type="checkbox"/></div> <div>A Increase Award B Decrease Award C Increase Duration D Decrease Duration Other (specify): _____</div>		9. NAME OF FEDERAL AGENCY:																					
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:																					
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.)																							
13. PROPOSED PROJECT <div>Start Date Ending Date</div>		14. CONGRESSIONAL DISTRICTS OF <div>a. Applicant b. Project</div>																					
15. ESTIMATED FUNDING <table><tr><td>a. Federal</td><td>\$</td><td>00</td></tr><tr><td>b. Applicant</td><td>\$</td><td>00</td></tr><tr><td>c. State</td><td>\$</td><td>00</td></tr><tr><td>d. Local</td><td>\$</td><td>00</td></tr><tr><td>e. Other</td><td>\$</td><td>00</td></tr><tr><td>f. Program income</td><td>\$</td><td>00</td></tr><tr><td>g. TOTAL</td><td>\$</td><td>00</td></tr></table>		a. Federal	\$	00	b. Applicant	\$	00	c. State	\$	00	d. Local	\$	00	e. Other	\$	00	f. Program income	\$	00	g. TOTAL	\$	00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$	00																					
b. Applicant	\$	00																					
c. State	\$	00																					
d. Local	\$	00																					
e. Other	\$	00																					
f. Program income	\$	00																					
g. TOTAL	\$	00																					
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <div><input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No</div>																							
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																							
a. Typed Name of Authorized Representative		b. Title																					
c. Telephone number																							
d. Signature of Authorized Representative		e. Date Signed																					

Previous Editions Not Usable

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

Authorized for Local Reproduction

Instructions for the SF 424

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

Item and Entry

1. Self-explanatory.
2. Date application submitted by Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project, if more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities)

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by

each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

Attachment C

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

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

Standard Form 424A (4-88)

Authorized for Local Documentation

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				(e) Fourth
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets, if Necessary)	
21. Direct Charges:	22. Indirect Charges:
23. Remarks	

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Instructions for the SF-424A

General Instructions

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

Section A. Budget Summary

Lines 1–4, Columns (a) and (b)

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

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

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

Lines 1–4, Columns (c) through (g.)

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

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

needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

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

Line 5—Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1–4, Column (a), Section A. When additional sheets are prepared for Senate 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, Columns (e) and (f) on Line 5.

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

Section C. Non-Federal-Resources

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

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

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

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

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

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

Line 12—Enter the total for each of Columns (b)–(e). The amount in Column (e)

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

Section D. Forecasted Cash Needs

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

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

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

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

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.

Attachment D—Assurances—Non-Construction Programs

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

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

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

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

or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

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

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

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

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

statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 92–646) which provides 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.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

BILLING CODE 4184-01-P

Attachment E

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

DGMO Form#2 Revised May 1990

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

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR Part 76, certifies to the best of its knowledge and belief 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 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 indicated or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services' (HHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

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

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (To Be Supplied to Lower Tier Participants)

By signing and submitting this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) where the prospective lower tier participant is unable to certify to any of the

above, such prospective participant shall attach an explanation to this proposal.

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

Attachment G—OMB State Single Point of Contact Listing***Arizona***

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315, FAX: (602) 280-1305

Arkansas

Mr. Tracy L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 1515 W. 7th St., Room 412, Little Rock, Arkansas 72203, Telephone: (501) 682-1074, FAX: (501) 682-5206

Alabama

Jon C. Strickland, Alabama Department of Economic and Community Affairs, Planning and Economic Development Division, 401 Adams Avenue, Montgomery, Alabama 36103-5690, Telephone: (205) 242-5483, Fax: (205) 242-5515

California

Grants Coordinator, Office of Planning & Research, 1400 Tenth Street, Room 121, Sacramento, California 95814, Telephone (916) 323-7480, FAX (916) 323-3018.

Delaware

Francine Booth, State Single Point of Contact Executive Department, Thomas Collins Building, Dover, Delaware 19903, Telephone: (302) 739-3326, FAX: (302) 739-5661

District of Columbia

Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717 14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone: (202) 727-6554, FAX: (202) 727-1617

Florida

Florida State Clearinghouse, Department of Community Affairs, 2740 Centerview Drive, Tallahassee, Florida 32399-2100, Telephone: (904) 922-5438, FAX: (904) 487-2899

Georgia

Tom L. Reid, III, Administrator, Georgia State Clearinghouse, 254 Washington Street, S.W.—Room 401J, Atlanta, Georgia 30334, Telephone: (404) 656-3855 or (404) 656-3829, FAX: (404) 656-7938

Illinois

Barbara Beard, State Single Point of Contact, Department of Commerce and Community

Affairs, 620 East Adams, Springfield, Illinois 62701, Telephone: (217) 782-1671, FAX: (217) 534-1627

Indiana

Amy Brewer, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone: (317) 232-5619, FAX: (317) 233-3323

Iowa

Steven R. McCann, Division for Community Assistance, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309, Telephone: (515) 242-4719, FAX: (515) 242-4859

Kentucky

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601-8204, Telephone: (502) 573-2382, FAX: (502) 573-2512

Maine

Joyce Benson State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone: (207) 287-3261, FAX: (207) 287-6489

Maryland

William G. Carroll, Manager, State Clearinghouse for, Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104, Baltimore, Maryland 21201-2365, Staff Contact: Linda Janey, Telephone: (410) 225-4490, FAX: (410) 225-4480

Michigan

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4266

Mississippi

Cathy Malette, Clearinghouse Officer, Department of Finance and Administration, 455 North Lamar Street, Jackson, Mississippi 39202-3087, Telephone: (601) 359-6762, FAX: (601) 359-6764

Missouri

Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Room 760, Truman Building, Jefferson City, Missouri 65102, Telephone: (314) 751-4834, FAX: (314) 751-7819

Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone: (702) 687-4065, FAX: (702) 687-3983

New Hampshire

Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review Process, Mike Blake, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone: (603) 271-2155, FAX: (603) 271-1728

New Jersey

Gregory W. Adkins, Assistant Commissioner, New Jersey Department of Community

Affairs. Please direct all correspondence and questions about intergovernmental review to: Andrew J. Jaskolka, State Review Process, Intergovernmental Review Unit CN 800, Room 813A, Trenton, New Jersey 08625-0800, Telephone: (609) 292-9025, FAX: (609) 633-2132

New Mexico

Robert Peters, State Budget Division, Room 190 Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone: (505) 827-3640

New York

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

North Carolina

Chrys Baggett, Director, N.C. State Clearinghouse, Office of the Secretary of Admin., 116 West Jones Street, Raleigh, North Carolina 27603-8003, Telephone: (919) 733-7232, FAX: (919) 733-9571

North Dakota

North Dakota Single Point of Contact, Office of Intergovernmental Assistance, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0170, Telephone: (701) 224-2094, FAX: (701) 224-2308

Ohio

Larry Weaver, State Single Point of Contact, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411. Please direct correspondence and questions about intergovernmental review to: Linda Wise, Telephone: (614) 466-0698, FAX: (614) 466-5400

Rhode Island

Daniel W. Varin, Associate Director, Department of Administration/Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083. 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, FAX: (803) 734-0385

Texas

Tom Adams, Governor's Office, Director, Intergovernmental Coordination, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 463-1771, FAX: (512) 463-1880

Utah

Carolyn Wright, Utah State Clearinghouse, Office of Planning and Budget, Room 116 State Capitol, Salt Lake City, Utah 84114, Telephone: (801) 538-1535, FAX: (801) 538-1547

Vermont

Nancy McAvoy, State Single Point of Contact, Pavilion Office Building, 109 State

Street, Montpelier, Vermont 05609, Telephone: (802) 828-3326, FAX: (802) 828-3339

West Virginia

Fred Cutlip, Director, Community Development Division, W. Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone: (304) 558-4010, FAX: (304) 558-3248

Wisconsin

Martha Kerner, Section Chief, State/Federal Relations, Wisconsin Department of Administration, 101 East Wilson Street—6th Floor, P.O. Box 7868, Madison, Wisconsin 53707, Telephone: (608) 266-2125, FAX: (608) 267-6931

Wyoming

Sheryl Jeffries, State Single Point of Contact, Herschler Building 4th Floor, East Wing, Cheyenne, Wyoming 82002, Telephone: (307) 777-7574, FAX: (307) 638-8967

Territories

Guam

Mr. Giovanni T. Sgambelluri, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agana, Guam 96910, Telephone: 011-671-472-2285, FAX: 011-671-472-2825

Puerto Rico

Norma Burgos/Jose E. Caro, Chairwoman/Director, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (809) 727-4444; (809) 723-6190, FAX: (809) 724-3270; (809) 724-3103

North Mariana Islands

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

Virgin Islands

Jose George, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802. Please direct all questions and correspondence about intergovernmental review to: Linda Clarke, Telephone: (809) 774-0750, FAX: (809) 776-0069

Attachment H

Certification Regarding Lobbying— Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

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

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

State for Loan Guarantee and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Organization

Date

BILLING CODE 4184-01-P

Approved by OM
0348-0046

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

Authorized for Local Reproduction
Standard form - 111

February 1996.

Attachment I—Jobs Program Directory

Alabama

Claire Ealy, Director, Office of Work and Training Services, Family Assistance, S. Gordon Persons Building, 50 Ripley Street, Montgomery, Alabama 36130, (334) 242-1950, Fax (334) 242-1086

Alaska

Val Horner, JOBS Program Officer, Division of Public Assistance, Department of Health and Social Services, P.O. Box 110640, Juneau, Alaska 99811-0640, (907) 465-5844, Fax (907) 456-5154

Arizona

Gretchen Evans, Administrator, JOBS/Food Stamp Employment and Training Administration, Dept. of Economic Security, P.O. Box 6123-710A, Phoenix, Arizona 85005, (602) 542-5954, Fax (602) 542-6310

Arkansas

Debbie Bousquet, Manager, Project SUCCESS, Department of Human Services, P.O. Box 1437, Mail Slot 1230, Little Rock, Arkansas 72203, (501) 682-8264, Fax (501) 682-1469

California

William Jordan, Acting Chief, Employment & Immigrations Programs Branch, Department of Social Services, 744 P Street M/S 6-700, Sacramento, California 95814, (916) 657-3442, Fax (916) 654-1516

Colorado

Mary Kay Cook, Program Manager, New Directions/JOBS Coordinator, Department of Human Services, 1575 Sherman Street, Denver, Colorado 80203, (303) 866-2643, Fax (303) 866-5098

Connecticut

Nancy Wiggett, Program Manager, Planning Supervisor, Family Support Team, Department of Social Services, 25 Sigourney Street, Hartford, Connecticut 06106-5033, (860) 424-5329, Fax (860) 424-4966

Delaware

Rebecca Varella, Chief Administrator, Employment and Training, Division of Social Services, P.O. Box 906, New Castle, Delaware 19720, (302) 577-4451, Fax (302) 577-4405

District of Columbia

Garland Hawkins, Acting Administrator, Bureau of Training and Employment, Department of Human Services, 33 N Street N.E., Washington, D.C. 20001, (202) 727-1293, Fax (202) 727-6589

Florida

Judith Moon, Project Director, Welfare Reform & Project Independence, Department of Health and Rehabilitative Services, 1317 Winewood Boulevard, Building 45, Room 421, Tallahassee, Florida 32399-0700, (904) 922-9622, Fax (904) 488-2589

Georgia

Sylvia Elam, Chief, Employment Services Unit, Division of Family and Children Services, Department of Human Resources, 2 Peachtree Street, 14th Floor, Room 318, Atlanta, Georgia 30303, (404) 657-3737, Fax (404) 657-3755

Guam

Julia Berg, Administrator, Bureau of Economic Security, P.O. Box 2816, Agaña, Guam 96910, (011-671) 734-7286

Hawaii

Garry Kemp, Administrator, Self-Sufficiency & Support Services Division, Department of Human Services, 1001 Bishop Street, Suite 900, Honolulu, Hawaii 96813, (808) 586-7054, Fax (808) 586-5180

Idaho

Kathy James, Bureau Chief, Bureau of Family Self Support, Department of Health and Welfare/FACS, P.O. Box 83720, 450 West State Street, 7th Floor, Boise, Idaho 83720-0036, (208) 334-6618, Fax (208) 334-6664

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, Fax (217) 785-0875

Indiana

Jim Martin, Program Manager, IMPACT, Family Social Service Administration, 402 W. Washington, Room W 363, Indianapolis, Indiana 46204, (317) 232-2002, Fax (317) 232-4615

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, Fax (515) 281-7791

Kansas

Phyllis Lewin, Director, Employment Preparation Services, Department of Social and Rehabilitation Services, DSOB, 915 SW Harrison, Topeka, Kansas 66612-1500, (913) 296-3349, Fax (913) 296-0146

Kentucky

Sharon Perry, Staff Assistant, Office for Families and Children, Department of Social Insurance, Cabinet for Human Resources, 275 E. Main Street, Frankfurt, Kentucky 40621, (502) 564-3703, Fax (502) 564-6907

Louisiana

John Jett, Director, Project Independence, Department of Social Services, P.O. Box 94065, Baton Rouge, Louisiana 70804-9065, (504) 342-2511, Fax (504) 342-2536

Maine

Barbara Van Burgel, ASPIRE Coordinator, Bureau of Family Independence, Department of Human Services, Statehouse Station #11, 32 Winthrop Street, Augusta, Maine 04333, (207) 287-3309, Fax (207) 287-5096

Maryland

Charlene Gallion, Executive Director, Office of Project Independence Management, Department of Human Resources, Room 714, 311 W. Saratoga Street, Baltimore, Maryland 21201, (410) 767-7119, Fax (410) 333-0832

Massachusetts

Dolores Lewis, Director, Employment Services Program, Department of Transitional Assistance, 600 Washington Street, Boston, Massachusetts 02111, (617) 348-5931, Fax (617) 727-9153

Michigan

Daniel Cleary, Director, Office of Employment Policy Coord., Department of Social Services, 235 S. Grand Avenue, Suite 504, P.O. Box 30037, Lansing, Michigan 48909, (517) 335-0015, Fax (517) 335-6453

Minnesota

Bonnie Becker, Director, Self-Sufficiency Program, Department of Human Services, 444 Lafayette Road, St. Paul, Minnesota, 55155 (612) 296-2499, Fax (612) 296-1818

Mississippi

Richard Berry, Director, Office of JOBS, Mississippi Department of Social Services, 750 North State Street, 5th Floor, Jackson, Mississippi 39202, (601) 359-4854, Fax (601) 359-4860

Missouri

Denise Cross, Assistant Deputy Director of Welfare Reform, Income Maintenance, Division of Family Services, P.O. Box 88, Jefferson City, Missouri 65103, (573) 751-3124, Fax (573) 526-4837

Montana

Linda Currie, JOBS Program Specialist, Self-Sufficiency Team, Department of Social and Rehabilitation Services, P.O. Box 4210, Helena, Montana 59604, (406) 444-4099, Fax (406) 444-2547

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, Fax (402) 471-9455

Nevada

John Alexander, Employment & Training Coordinator, Nevada State Welfare Division, Capitol Complex, 2527 North Carson Street, Carson City, Nevada 89710, (702) 687-4143, Fax (702) 687-1079

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, Fax (603) 271-4637

New Jersey

Karen Highsmith, Acting Director, Division of Family Development, Department of Human Services, CN 716, 6 Quakerbridge

Plaza, Trenton, New Jersey 08625, (609) 588-2411, Fax (609) 588-3391

New Mexico

Marise McFadden, Bureau Chief for Family Self-Sufficiency, Income Support Division, Human Services Department, P.O. Box 2348, Santa Fe, New Mexico 87500, (505) 827-7262, Fax (505) 827-7203

New York

Ms. Patricia A. Stevens, Deputy Commissioner, Department of Social Services, Division of Temporary Assistance, 40 North Pearl Street, Albany, New York 12243, (518) 474-9222, Fax (518) 474-9347

North Carolina

Pheon Beal, Assoc. Employment Programs Section, Department of Human Resources, 325 North Salisbury Street, Raleigh, North Carolina 27611, (919) 733-2873, Fax (919) 715-5457

North Dakota

Gloria House, JOBS Administrator, Department of Human Services, 600 E. Boulevard, Bismarck, North Dakota 58505-0250, (701) 328-4005, Fax (701) 328-1544

Ohio

Joel Rabb, Director, Bureau of Welfare Reform and JOBS, Department of Human Services, State Office Tower, 31st Floor, 30 East Broad Street, Columbus, Ohio 43266-0423, (614) 466-3196, Fax (614) 728-2984

Oklahoma

Raymond Haddock, Division Administrator, Family Services Division, Department of Human Services, P.O. Box 25352, Oklahoma City, Oklahoma 73125, (405) 521-3076, Fax (405) 521-4158

Oregon

Susan Smit, JOBS Services Manager, Department of Human Resources, Adult and Family Services, 500 Summer Street, N.E., Salem, Oregon 97310-1013, (503) 945-6115, Fax (503) 373-7200

Pennsylvania

David Florey, Director, Bureau of Employment and Training Program, Department of Public Welfare, P.O. Box 2675, Harrisburg, Pennsylvania 17105, (717) 787-8613, Fax (717) 787-6765

Puerto Rico

Myrta Monges, JOBS Director, Department of the Family Administration of Social Economic Development, Isla Grande, Building #10, P.O. Box 11398, Santurce, Puerto Rico 00910, (809) 722-0045, Fax (809) 722-0275

Rhode Island

Sherry Campanelli, Associate Director, Community Services, Department of Human Services, 600 New London Avenue, Cranston, Rhode Island 02920, (401) 464-2423, Fax (401) 464-1876

South Carolina

Hiram Spain, Director, Business Industrial Relations, Office of Family Independence,

P.O. Box 1520, Columbia, South Carolina 29202, (803) 737-5916, Fax (803) 734-6093

South Dakota

Julie Osnes, Food Stamps Administrator, Office of Family Independence, Department of Social Services, 700 Governors Drive, Pierre, South Dakota 57501, (605) 773-3493, Fax (605) 773-6843

Tennessee

Wanda Moore, Director of Program Services, Department of Human Services, 12th Floor, 400 Deadericks, Nashville, Tennessee 37248, (615) 313-4866, Fax (615) 741-4165

Texas

Irma Bermea, Deputy Commissioner for Customer Self Support, DHS, P.O. Box 149030, MC E-309, Austin, Texas 78714-9030, (512) 450-4140, Fax (512) 438-4318

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, Fax (801) 538-4212

Vermont

Steve Gold, Director, REACH-UP Program, Department of Social Welfare, State Office Building, 103 South Main Street, Waterbury, Vermont 05676, (802) 241-2834

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 Street, 2nd Floor, Richmond, Virginia 23219-1849, (804) 692-1229, Fax (804) 692-2209

Washington

Liz Dunbar, Director, Division of Employment & Social Services, Department of Social and Health Services, P.O. Box 45470, 1009 College Street S.E., Olympia, Washington 98504-5470, (360) 438-8400, Fax (360) 438-8258

West Virginia

Sharon Paterno, Director, Office of Family Support, Department of Health and Human Resources, Building 6, State Capitol Office Complex, Charleston, West Virginia 25305, (304) 558-5203, Fax (304) 558-3240,

Wisconsin

J. 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, Fax (608) 261-6376

Wyoming

Ken Kaz, Welfare Reform Program Manager, Program and Policy Division, Department of Family Services, Hathaway Building,

Third Floor, 2300 Capitol Avenue, Cheyenne, Wyoming 82002-0490, (307) 777-5841, Fax (307) 777-3693

Attachment J—Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provisions 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, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

Attachment K—DHHS Regulations Applying to All Applicants/Grantees Under the Job Opportunities for Low-Income Individuals (JOLI) Program

Title 45 of the *Code of Federal Regulations*:

Part 16—Department of Grant Appeals Process

Part 74—Administration of Grants (grants and subgrants to entities)

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—Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act

Part 84—Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance

Part 85—Enforcement of Non-Discrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of Health and Human Services

Part 86—Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance

Part 91—Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance

Part 92—Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (Federal Register, March 11, 1988)

Part 93—New Restrictions on Lobbying
Part 100—Intergovernmental Review of Department of Health and Human Services Programs and Activities

Attachment L—Business Plan

The business plan is one of the major components that will be evaluated by OCS to determine the feasibility of a jobs creation project. A business plan must be included if the applicant is proposing to establish a new identified business, or if the applicant will be providing assistance to a private third-party employer for the development or expansion of a pre-identified business.

The following guidelines were written to cover a variety of possibilities regarding the requirements of a business plan. Rigid adherence to them is not possible nor even desirable for all projects. For example, a business plan for a service business would not require discussion of manufacturing nor product designs. Therefore, the business plans 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 include 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; and

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

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

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

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

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

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 must describe what is to be done, how it will be done and who will do it. 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 plan should address the following topics—Overall Marketing Strategy, Packaging, Service and Warranty, Pricing, Distribution and Promotion.

5. *Design and Development Plans:* This section of the plan should cover items such as Development Status, Tasks, Difficulties and Risks, Product Improvement, New Products and Costs. 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.

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:* 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. The management team is 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 operating the proposed business.

8. *Overall Schedule:* This section must include a month-by-month schedule that shows the timing of such major events, activities and accomplishments involving product development, market planning, sales programs, and production and operations. Sufficient detail should be included to show the correlation between the timing of the primary tasks required to accomplish each activity.

9. *Critical Risks and Assumptions:* This section should include a description of the risks and critical assumptions/problems relating to the industry, the venture, its personnel, the product's market appeal, and the timing and financing of the venture. Identify and discuss the critical assumptions/problems to overcome in the Business Plan. Major problems must clearly identify problems to be solved to develop the venture.

10. *Community Benefits:* The applicant should describe how the proposed project will contribute to the local economy, community and human economic 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 of the business. 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.

12. *Facilities:* If rearrangement or alteration of existing facilities is required to implement the project, the applicant must describe and justify such changes and related costs.

Attachment M—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) 283-3560

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, (303) 969-6707

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 N—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 O—Optional Checklist To Use in Submitting OCS Grant Application (for Use of Applicant Only)

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. An acknowledgement, as set forth in attachments E and F, that by signing and submitting this application, the applicant is certifying that it will comply with the Federal requirements concerning a drugfree workplace and debarment regulations (no signature required on form);

7. Filled out, signed, dated form (Attachment H) containing restrictions on

Lobbying, Certification for Contracts, Grants, Loans, and Cooperative Agreements;

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 (no signature required on form).

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

11. A Project Narrative of no more than 30 pages, consisting of the Elements described in Part IV of this Announcement set forth in the order there presented; preceded by a consecutively numbered Table of Contents (not to be counted as part of the 30 pages).

12. Appendices—proof of tax-exempt status as outlined in Part II, Section A; 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 franchised, where applicable; partnership agreement with State IV-A (JOBS Program) agency; Single Point of Contact comments, if applicable; resumes and position descriptions; a Business Plan, where required; and the Maintenance of Effort Certification.

The total number of pages for the narrative portion of the application package must not exceed 30 pages, excluding Appendices and Narrative Table of Contents.

Pages should be numbered sequentially throughout, including 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 30 page limit.

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