

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS-99-08]

#### Announcement of Second Round of Applications and Competitive Funding Under the Office of Community Services' Fiscal Year 1999, Assets for Independence (IDA) Demonstration Program, Priority Area 1.0

[This Announcement is Essentially the Same as the Announcement published January 27, 1999, as Modified by the Notice of Clarification published March 29, 1999]

**AGENCY:** Office of Community Services (OCS), ACF, DHHS.

**ACTION:** Announcement of second round of FY 1999 funding and availability of funds and request for second round of competitive applications under the Office of Community Services' Assets for Independence Demonstration Program.

**SUMMARY:** Initial screening of applications received pursuant to its Program Announcement of January 27, 1999 revealed serious deficiencies in a substantial number of applications, resulting in a fewer number of applications available for competitive review than originally anticipated. Consequently, after review of applications and award of grants under Priority Area 1.0 pursuant to the Announcement of January 27, there will remain FY 1999 funds available, and the Office of Community Services (OCS) is therefore announcing a second invitation to eligible entities to submit competitive grant applications for new demonstration projects under Priority Area 1.0 that will establish, support, and participate in the evaluation of Individual Development Accounts for lower income individuals and families. This announcement invites applications from new applicants as well as those entities who were notified that their original applications under round one were deficient, and from applicants who have been notified that their applications in the first round were not competitively selected for grant award, and who would like them reconsidered, or who choose to revise and resubmit their previous applications on the basis of reviewer comments. All potential applicants should be aware that it is the intention of the Office of Community Services to publish its FY 2000 Assets for Independence Program Announcement on or about August 16, 1999 with a closing date early in the year 2000.

**DATES:** To be considered for funding applications must be received by close of business on August 9, 1999. Applications received after that date will not be accepted for consideration. See Part VI of this Announcement for more information on submitting applications.

#### FOR FURTHER INFORMATION CONTACT:

Richard Saul (202) 401-9341 or Sheldon Shalit (202) 401-4807, Department of Health and Human Services, Administration for Children and Families, Office of Community Services, 370 L'Enfant Promenade, SW, Washington, DC, 20447.

In addition, this Announcement is accessible on the OCS WEBSITE at "<http://www.acf.dhhs.gov/programs/ocs>" under "funding opportunities".

The Catalog of Federal Domestic Assistance (CFDA) number for this Program is "93.602". The title is Assets for Independence Demonstration Program (IDA Program).

**SUPPLEMENTARY INFORMATION:** This program announcement consists of nine parts plus appendices:

Part I: Announcement of Second Round of IDA Applications.

Part II: Summary of Announcement Modifications Pursuant to the Notice of Clarification Published March 29, 1999.

Part III: Background Information: legislative authority, program purpose, CFDA number, and definition of terms.

Part IV: Program Objectives and Requirements: program priority areas, eligible applicants, project and budget periods, funds availability and grant amounts, project eligibility and requirements, non-Federal matching funds requirements, preferences, multiple applications, treatment of program income, and partnership with financial institutions.

Part V: The Project Description, Program Proposal Elements and Review Criteria: project summary; the review process, project goals, application brevity; proposal elements and review criteria; and funding reconsideration.

Part VI: Application Procedures: application materials, application development/availability of forms, application submission, intergovernmental review, initial OCS screening, application consideration.

Part VII: Instructions for Completing Application Forms: SF424, SF424A, SF424B.

Part VIII: Contents of Application and Receipt Process: content and order of program application, acknowledgement of receipt

Part IX: Post Award Information and Reporting Requirements: notification of grant award, attendance at evaluation workshops, reporting requirements, audit requirements, prohibitions and requirements with regard to lobbying, applicable Federal regulations.

Appendices: Application forms and required attachments.

## Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, Public Law 104-13, the Department is required to submit to OMB for review and approval any reporting and record keeping requirements in regulations, including Program Announcements. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. This Program Announcement does not contain information collection requirements beyond those approved for ACF grant announcements/applications under OMB Control Number OMB-0970-0139 (expires 10/31/2000).

### Part I. Announcement of Second Round of IDA Applications

The Office of Community Services is hereby announcing a second round of Applications for Priority Area 1.0 of the Assets for Independence Demonstration (IDA) Program. Because of serious deficiencies in a substantial number of applications received pursuant to its Program Announcement of January 27, 1999, OCS is not able to award all of the funds available in that funding cycle. Deficient Applications from the first round have been returned to applicants, as have those not selected for funding in the competitive review of first round applications. This Announcement affords these applicants, as well as new applicants who have not previously submitted applications for this program, the opportunity to submit new or revised applications for consideration. Only new Applicants or Applicants submitting applications under the first round who have received notification of being deficient or of not being selected for funding in the first round are eligible to submit applications pursuant to this Announcement. Applications should be prepared and will be reviewed in accordance with the requirements, program elements, and review criteria of this Announcement, which are the same as those in the Program Announcement published January 27, 1999, as modified by the Notice of Clarification published March 29, 1999.

In every case, each application submitted pursuant to this Announcement must include a newly completed, signed, and dated SF 424, "Application for Federal Assistance".

### Part II. Summary of Announcement Modifications Pursuant to the Notice of Clarification Published March 29, 1999

In the clarifications and guidance of March 29 OCS sought to respond to the issues raised by all of the interested

parties. The clarifications of issues of interest to applicants for the Assets for Independence Demonstration Program were set forth in that Notice and have been incorporated as modifications into this Program Announcement. As noted above, the full text of these modifications, as well as a series of informative Q's and A's, may be found on the OCS website. The modifications to the original Program Announcement, and which have been incorporated into this Announcement, may be summarized as follows:

A. Custodial Accounts. Applicants are advised that grantees will have the option of establishing Individual Development Accounts (IDA's) either as Trusts or as Custodial Accounts. [See Part III. D. (5) under Definitions, and PART IV.G.(3) Establishment of Individual Development Accounts.]

B. "Non-Federal Share Agreements" must include a schedule of deposits that will assure that there will be at all times in a Demonstration Project's Reserve Fund sufficient non-Federal matching contribution funds to equal the maximum amount pledged as matching contributions under the "Savings Plan Agreements" for all IDA's then open (which may be less than the \$2000 for each account stated in the Program Announcement as originally published). [See PART VI. D. (6) and PART IV. I. Non-Federal Matching Funds Requirements.]

C. The "Savings Plan Agreement", required under PART IV Section G(3)(n) of the Program Announcement as part of the instrument creating the IDA, should, under item #2, set the matching contribution rate for the account up to a total of not more than \$2000 in Federal grant funds, during the project period, rather than a total of all match funds as stated in the Program Announcement as originally published. It should also include a new item i9 providing for withdrawal of savings if participant leaves the program. [See PART IV.G.(3)(n) Savings Plan Agreement.]

D. Project and Budget Periods. Applicants are advised that they may submit applications for project and budget periods of up to five years, but of at least three years' duration. [See PART IV.C. Project and Budget Periods under Priority Area 1.0]

E. Additional matching contributions. Applicants are advised that once the statutory requirement of equal matching contributions to IDA's from non-Federal sources and Federal grant funds is satisfied, additional matching contributions may be made from non-Federal sources or even from Federal sources such as TANF where the

legislation or policies governing such programs so permit. In the case of TANF funds, such contributions would be limited to IDA's of TANF recipients. [See PART IV.G.(5) Deposits in Individual Development Accounts.]

F. Income Eligibility. The actual income limits from IRS tables for the Section 32 Earned Income Tax Credit are now set forth in PART IV.G.(a) Participant Eligibility.

G. Earned Income. The pertinent language from Section 911(d)(2) of the Internal Revenue Code, defining "earned income", is now set forth in PART IV.G.(5)(a) Matching Contributions.

### Part III. Background Information

#### A. Legislative Authority

The Assets for Independence Demonstration Program (IDA Program) was established by the Assets for Independence Act (AFI Act), under Title IV of the Community Opportunities, Accountability, and Training and Educational Services Act of 1998 (Pub. L. 105-285, 42 USC 604 Note).

#### B. Program Purpose

The purpose of the program is, in the language of the AFI Act: to provide for the establishment of demonstration projects designed to determine:

(1) The social, civic, psychological, and economic effects of providing to individuals and families with limited means an incentive to accumulate assets by saving a portion of their earned income;

(2) The extent to which an asset-based policy that promotes saving for postsecondary education, homeownership, and microenterprise development may be used to enable individuals and families with limited means to increase their economic self-sufficiency; and

(3) The extent to which an asset-based policy stabilizes and improves families and the community in which the families live.

C. *The Catalog of Federal Domestic Assistance (CFDA) Number for This Program is 93.602*

#### D. Definition of Terms

For the purposes of this Announcement:

(1) AFI Act means the Assets for Independence Act (Title IV of the Community Opportunities, Accountability, and Training and Educational Services Act of 1998) which authorizes this program.

(2) Eligible Individual means an individual who meets the income and net worth requirements of the program as set forth in PART IV, Section G(2)(a).

(3) Emergency Withdrawal means a withdrawal of only those funds, or a portion of those funds, deposited by the eligible individual (Project Participant) in an Individual Development Account of such Individual. Such withdrawal must be approved by the Project Grantee, must be made for an allowable purpose as defined in the AFI Act and under the Project Eligibility Requirements set forth in PART IV of this Announcement, and must be repaid by the individual Project Participant within 12 months of the withdrawal. [See PART IV, Section G(6)(b)]

(4) Household means all individuals who share use of a dwelling unit as primary quarters for living and eating separate from other individuals.

(5) Individual Development Account means a trust or a custodial account created or organized in the United States exclusively for the purpose of paying the qualified expenses of an eligible individual, or enabling the eligible individual to make an emergency withdrawal, but only if the written governing instrument creating the trust or custodial account meets the requirements of the AFI Act and of the Project Eligibility and Requirements set forth in this Announcement. [See PART IV, Section G(3) and (4).]

(6) Net Worth of a Household means the aggregate market value of all assets that are owned in whole or in part by any member of the household, exclusive of the primary dwelling unit and one motor vehicle owned by a member of the household, minus the obligations or debts of any member of the household.

(7) Project Grantee means a Qualified Entity as defined in paragraph (10) below, which receives a grant pursuant to this Announcement.

(8) Project Participant means an Eligible Individual as defined in paragraph (2) above who is selected to participate in a demonstration project by a qualified entity.

(9) Project Year means, with respect to a funded demonstration project, any of the 5 consecutive 12-month periods beginning on the date the project is originally awarded a grant by ACF.

(10) Qualified Entity means an entity eligible to apply for and operate an assets for independence demonstration project, under Priority Area 1.0, as one or more not-for-profit 501(c)(3) tax exempt organizations, or a State or local government agency, or a tribal government, submitting an application jointly with such a not-for-profit organization. States eligible to apply under Priority Area 2.0 are deemed to be Qualified Entities.

(11) Qualified Expenses means one or more of the expenses for which payment

may be made from an individual development account by a project grantee on behalf of the eligible individual in whose name the account is held, and is limited to expenses of (A) post-secondary education, (B) first home purchase, and/or (C) business capitalization, as defined below:

(A) Post-Secondary Educational Expenses means post-secondary educational expenses paid from an individual development account directly to an eligible educational institution, and includes:

(i) Tuition and Fees required for the enrollment or attendance of a student at an eligible educational institution.

(ii) Fees, Books, Supplies, and Equipment required for courses of instruction at an eligible educational institution.

(iii) Eligible Educational Institution means the following:

(I) Institution of Higher Education.—An institution described in Section 101 or 102 of the Higher Education Act of 1965.

(II) Post-Secondary Vocational Education School.—An area vocational education school (as defined in subparagraph (C) or (D) of section 521(4) of the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471(4)) which is in any State (as defined in section 521(33) of such Act) as such sections are in effect on the date of enactment of this title.

(B) First-Home Purchase means qualified acquisition costs with respect to a principal residence for a qualified first-time homebuyer, if paid from an individual development account directly to the persons to whom the amounts are due. Within this definition:

(i) Principal Residence means a main residence, the qualified acquisition costs of which do not exceed 100 percent of the average purchase price applicable to a comparable residence in the area.

(ii) Qualified Acquisition Costs means the cost of acquiring, constructing, or reconstructing a residence, including usual or reasonable settlement, financing, or other closing costs.

(iii) Qualified First-Time Homebuyer means an individual participating in the project involved (and, if married, the individual's spouse) who has no present ownership interest in a principal residence during the 3-year period ending on the date on which a binding contract is entered into for purchase of the principal residence to which this subparagraph applies.

(C) Business Capitalization means amounts paid from an individual development account directly to a business capitalization account that is

established in a Qualified Financial Institution and is restricted to use solely for qualified business capitalization expenses of the eligible individual in whose name the account is held. Within this definition:

(i) Qualified Business Capitalization Expenses means qualified expenditures for the capitalization of a qualified business pursuant to a qualified plan.

(ii) Qualified Expenditures means expenditures included in a qualified plan, including but not limited to capital, plant, equipment, working capital, and inventory expenses.

(iii) Qualified Business means any business that does not contravene any law or public policy (as determined by the Secretary).

(iv) Qualified Plan means a business plan, or a plan to use a business asset purchased, which—

(I) Is approved by a financial institution, a microenterprise development organization, or a nonprofit loan fund having demonstrated fiduciary integrity;

(II) Includes a description of services or goods to be sold, a marketing plan, and projected financial statements; and

(III) May require the eligible individual to obtain the assistance of an experienced entrepreneurial advisor.

(12) Qualified Financial Institution means a Federally insured Financial Institution, or a State insured Financial Institution if no Federally insured Financial Institution is available.

(13) Qualified Savings of the Individual for the Period means the aggregate of the amounts contributed by an eligible individual to the individual development account of the individual during the period.

(14) Secretary means the Secretary of Health and Human Services, acting through the Director of the Office of Community Services.

(15) Tribal Government means a tribal organization, as defined in section 4 of the Indian Self-Determination and Education Assistance Act (24 U.S.C. 450b) or a Native Hawaiian organization, as defined in section 9212 of the Native Hawaiian Education Act (20 U.S.C. 7912).

(16) Trust Agreement means the instrument by which an Individual Development Account is established in the partnering Financial Institution as required in PART II Section G(3).

(17) Trustee means the Qualified Financial Institution responsible for management of the Individual Development Account pursuant to the Trust Agreement.

## Part IV. Program Objectives and Requirements

### A. Program Priority Areas

Of the two Program Priority Areas under this program, only applications under Priority Area 1.0, are invited by this Announcement, from Qualified Entities as described below and in Section G.

### B. Eligible Applicants

Eligible applicants for the Assets for Independence Demonstration Program Priority Area 1.0 are one or more not-for-profit 501(c)(3) tax exempt organizations, or a State or local government agency, or a tribal government, submitting an application jointly with such a not-for-profit organization. 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 their currently valid IRS tax exemption certificate. Failure to provide evidence of Section 501(c)(3) tax exempt status will result in rejection of the application.

### C. Project and Budget Periods Under Priority Area 1.0

This announcement is inviting applications under Priority Area 1.0 for project and budget periods of up to five (5) years (but at least three (3) years). Grant actions, on a competitive basis, will award funds for the full project and budget periods of three to five years' duration. As noted below in Section E., subject to the availability of funds, grantees may be offered the opportunity to compete for supplementary funding in later years during the project.

**Note:** Applicants should be aware that OCS funds awarded pursuant to this Announcement will be from fiscal year (FY) 1999 funds and may not be expended after the end of a five year Project/Budget Period to support administration of the project or matching contributions to Individual Development Accounts which may be open at that time.

### D. Project and Budget Periods for Projects Under Priority Area 2.0

(Not applicable)

### E. Funds Availability and Grant Amounts Under Priority Area 1.0

Under this Program Announcement approximately \$3.5 million in Fiscal Year 1999 funds is available under Priority Area 1.0 for funding commitments to approximately 14 projects, not to exceed \$500,000 and

averaging a total of approximately \$250,000 for the three- to five-year project. Applicants are reminded that grant awards are limited to the amount of committed non-Federal cash matching contributions, and are urged to make realistic projections of project needs over the duration of the project and propose project budgets accordingly. Draw-down of grant funds over the three- to five-year budget period will be permitted in amounts that will match non-Federal deposits into the Project Reserve Fund. (See Section I., below) As noted above, subject to availability of funds and the progress of individual demonstration projects, grantees may be offered the opportunity to compete for supplementary funding in later years during the project, if there were a determination that this would be in the best interest of the government.

#### *F. Funds Availability and Grant Amounts Under Priority Area 2.0*

(Not applicable)

#### *G. Project Eligibility and Requirements Under Priority Area 1.0*

To be eligible for funding under Priority Area 1.0, projects must be sponsored and managed by Qualified Entities and must meet the following requirements:

(1) Reserve Fund. A grantee, other than a State or local government agency or tribal government, must establish a Reserve Fund and maintain it in accordance with accounting regulations prescribed by the Secretary. (Note: Such regulations will be issued prior to grant awards and made available to grantees at the time of the award.)

(a) Amounts in the Reserve Fund. As soon after receipt as is practicable, such grantees shall deposit in such Reserve Fund the non-Federal matching contributions received pursuant to the "Non-Federal Share Agreement" or Agreements reached with the provider(s) of non-Federal matching contributions. Once such non-Federal funds are deposited in the Reserve Fund, grantees may draw down OCS grant funds in amounts equal to such deposits. Similarly, as soon after receipt as practical, such grantees shall deposit the income received from any investment made of those funds (see below).

(b) Use of Amounts in the Reserve Fund. Grantees shall use the amounts in such Reserve Fund as follows:

(A) At least 90.5% of the Federal grant funds in the Reserve Fund shall be used as matching contributions to Individual Development Accounts for Project Participants, matched by non-Federal

contributions in accordance with Paragraph (5), below.

(B) At least 2% but no more than 9.5% of the Federal grant funds shall be used toward the expense of collecting and providing to the research organization evaluating the demonstration project the data and information required for the evaluation.

(C) Up to 7.5% of the Federal grant funds may be used for administration of the demonstration project and toward expenses of assisting project participants to obtain the skills (including economic literacy, budgeting, and business management skills), training, and information necessary to achieve economic self-sufficiency through activities requiring qualified expenses.

(D) Up to 9.5% of the required matching non-Federal funds may be used for expenses outlined in Paragraphs (B) and (C), above, or other project-related expenses as agreed by the Applicant and the providing entity.

**Note:** If a grantee mobilizes matching non-Federal contributions in excess of the required 100 percent match, such non-Federal funds may be used however the grantee and provider of the funds may agree.

(c) Authority to Invest Funds. A grantee shall invest the amounts in its Reserve Fund that are not immediately needed for payment under paragraph (b), in a manner that provides an appropriate balance between return, liquidity, and risk, and in accordance with Guidelines which will be issued by the Secretary prior to making of grant awards and provided to grantees at the time of grant award.

(d) Use of Investment Income. Income generated from investment of Reserve Fund monies that are not allocated to existing Individual Development Accounts may be added by grantees to the funds committed to program administration, participant support, or evaluation data collection. As noted in Paragraph M, below, once funds have been committed as matching contributions to Individual Development Accounts, then any income subsequently generated by such funds must be deposited/credited to the credit of such accounts.

**Note:** No part of such income is to be considered as a Federal funds contribution subject to the \$2000/\$4000 limitations under Paragraph (5)(b), below.

(e) Joint Project Administration. If two or more qualified entities are jointly administering a project, none shall use more than its proportional share for the purposes described in subparagraphs (B) and (C), of paragraph (b).

(2) Eligibility and Selection of Project Participants.

(a) Participant Eligibility. Eligibility for participation in the demonstration projects is limited to individuals who are members of households eligible for assistance under TANF or of households whose adjusted gross income does not exceed the earned income amount described in Section 32 of the Internal Revenue Code of 1986 (taking into account the size of the household), and whose net worth as of the end of the calendar year preceding the determination of eligibility does not exceed \$10,000, excluding the primary dwelling unit and one motor vehicle owned by a member of the household.

**[Note:** The most recent EITC Earned Income Guidelines which set the limits on annual income for eligibility in the IDA Program are as follows:

—For a household without a child: \$10,030  
—For a household with one child: \$26,473  
—For a household with more than one child: \$30,095

Applicants are reminded that there is also an assets test for eligibility in the program.]

(b) Participant Selection. In keeping with the statutory preference in Section 405(d)(3) of the AFI Act for applications that target individuals from neighborhoods or communities that experience high rates of poverty or unemployment, grantees under Priority Area 1.0, in their selection of Project Participants, may restrict participation in such neighborhoods or communities targeted by their demonstration projects to individuals and households with lower incomes and net worth than set forth above, provided that they shall nonetheless select individuals that they determine to be best suited to participate in the demonstration project.

(3) Establishment of Individual Development Accounts. Grantees must create, through written governing instruments, either (a) Trusts, under this paragraph, or (b) Custodial Accounts described in Paragraph (4) below, which will be Individual Development Accounts on behalf of Project Participants. Trustees of Trusts must be Qualified Financial Institutions. Custodians of Custodial Accounts may be Qualified Financial Institutions, other insured financial institutions satisfactory to the Secretary, or Demonstration Project Grantees. In every case the participating insured financial institution and the Demonstration Project Grantee shall be parties to the written governing instruments creating the Trust or Custodial Account, which must contain the following provisions:

(a) No contribution will be accepted unless in cash or by check.

**Note:** In accordance with U.S. Treasury Regulations and accepted commercial practice, electronic transfer of funds will be considered a cash payment for purposes of this Announcement.

(b) The assets of the trust will be invested in accordance with the direction of the Project Participant after consultation with the grantee and pursuant to the guidelines of the Secretary (which will be issued prior to the making of grant awards and made available to grantees at the time of grant award).

(c) The assets of the trust will not be commingled with other property except in a common trust fund or common investment fund.

(d) In the event of the death of the Project Participant, any balance remaining in the trust shall be distributed within 30 days of the date of death to another Individual Development Account established for the benefit of an eligible individual as directed by the Participant in the Savings Plan Agreement under subparagraph (h), below; *provided*, that the Participant may at their option direct the disposition of any funds in the trust which were deposited in the trust by the Participant.

(e) Except in the case of the death of the Project Participant, amounts in the trust attributable to deposits by the grantee from grant funds and matching non-Federal contributions, and any interest thereon, may be paid, withdrawn or distributed out of the trust only for the purpose of paying qualified expenses of the Project Participant (i.e. for post-secondary education expenses, first-home purchase, or business capitalization. See PART III Section D(11)).

(f) The procedures governing the withdrawal of funds from the Individual Development Account, for both Qualified Expenses and Emergency Withdrawals, which comply with the provisions of Paragraph (6) Withdrawals from Individual Development Accounts, below.

(g) A provision, in accordance with the direction of the Project Participant, for the distribution within 30 days of any balance in the trust on the day following the death of such Participant, to another individual development account established for the benefit of an eligible individual. [Note that this will mean that each Project Participant must provide such direction at the time the Individual Development Account is established. Provision should be made by grantees for modification of such directions during the course of the project, in the event of changing circumstances.]

(h) A "Savings Plan Agreement" between the grantee and the Project Participant, which should include: (1) savings goals (including a proposed schedule of savings deposits by the Participant from earned income, which may be for a period of less than five years); (2) the rate at which participant savings will be matched (from one dollar to eight dollars for each dollar in savings deposited by Participant, up to a total of \$2000 in Federal grant funds matched by an equal amount in non-Federal contributions during the project period); (3) the proposed qualified expense for which the Account is maintained, (4) any training or education related to the qualified expense which the Grantee agrees to provide and of which the Participant agrees to partake, (5) contingency plans in the event that the Participant exceeds or fails to meet projected savings goals or schedules, (6) any agreement as to investments of assets described in subparagraph (c), above, (7) provision for disposition of the funds in the trust (account) in the event of the Participant's death (see sub-Paragraph (d), above; (8) provision for amendment of the Agreement with the concurrence of both Grantee and Participant; and (9) a provision that should the Project Participant decide to leave the program, the grantee agrees that it will co-sign a withdrawal of the Participant's savings plus any income accrued thereon, with the understanding that the Participant thereby loses any right to receive matching contributions.

(4) Custodial Accounts. Notwithstanding the provisions of Paragraph (3), above, Grantees may, in the alternative, create, through written governing instruments, Custodial Accounts which shall be Individual Development Accounts on behalf of Project Participants, except that they will not be trusts. As in the case of trusts established under paragraph (3), the written governing instruments of the accounts must contain the requirements outlined in subparagraphs (a) through (h) of that paragraph, with the following exceptions. Whereas trustees of the trusts created under Paragraph (3) must be Qualified Financial Institutions, the assets of the custodial account may be held by a bank or another "person" (or institution) who demonstrates to the satisfaction of the Secretary that the manner in which the account will be administered will be consistent with the provisions of the AFIA, and that the IDA's will be created and maintained as described in paragraph (3) and Section 404(5)(A) of the AFIA. In addition, in the case of a custodial account treated

as a trust by reason of this paragraph, the custodian of such account may be the Project Grantee, provided that it can assure compliance with the requirements of Paragraph (3) above, and Section 404(5)(A) of the AFIA. These arrangements would place the "custodial" responsibilities with the grantee, and relieve financial institutions of trustee obligations. The Secretary has determined that the assets of any such accounts must be held in an insured financial institution and be subject to the provisions of Paragraph M, below, pertaining to agreements with applicants/grantees.

#### (5) Deposits in Individual Development Accounts.

(a) Matching Contributions. Not less than once every three months during the demonstration project grantees will make deposits into Individual Development Accounts, or into a parallel account maintained by the grantee, as matching contributions to deposits from earned income made by Project Participants during the period since the previous deposit.

**Note:** Deposits made by Project Participants shall be deemed to have been made from earned income so long as the Participant's earned income (as defined in Section 911(d)(2) of the Internal Revenue Code of 1986) during the period since the Participant's previous deposit in the account is greater than the amount of the current deposit. Section 911(d)(2) provides, in relevant part, "the term 'earned income' means wages, salaries, or professional fees, and other amounts received as compensation for personal services actually rendered". Matching contributions must be made to IDA's in equal amounts from Federal grant funds and the non-Federal public and private funds committed to the project as matching contributions, as described in Sections 405(c)(4) and 406(b)(1) of the AFIA. Such matching contribution deposits by grantees may be from \$0.50 to \$4 in non-Federal funds and an equal amount in Federal grant funds, for each dollar of earned income deposited in the account by the Project Participant in whose name the account is established. Once such equal matching contribution deposits are made, grantees may make additional matching contributions to IDA's from other non-Federal sources, or other Federal sources such as TANF, where the legislation or policies governing such programs so permit. At the time matching contribution deposits are made, the grantee will also deposit into the Individual Development Account (or the parallel account) any interest or income that has accrued since the previous deposit on amounts previously deposited in or credited to that account.

(b) Limitations on Matching Contributions. Over the course of the five year demonstration, not more than \$2,000 in Federal grant funds shall be provided through matching contributions to any one individual; and

not more than \$4,000 shall be provided to any one household.

(6) Withdrawals from Individual Development Accounts.

(a) Limitations. No earlier than six months after the initial deposit by a Project Participant in an Individual Development Account, funds may be withdrawn from such account, but only upon written approval of the Project Participant and of a responsible official of the project grantee, and only for one or more Qualified Expenses (as defined in Part III) or for an Emergency Withdrawal.

(b) Emergency Withdrawals. An Emergency Withdrawal may only be of those funds, or a portion of those funds, deposited in the account by the Project Participant, and for the following purposes:

(i) Expenses for medical care or necessary to obtain medical care for the Project Participant or a spouse or dependent of the Participant;

(ii) Payments necessary to prevent eviction of the Project Participant from, or foreclosure on the mortgage for, the principal residence of the Participant;

(iii) Payments necessary to enable the Project Participant to meet necessary living expenses (food, clothing, shelter—including utilities and heating fuel) following loss of employment.

(c) Reimbursement of Emergency Withdrawals. A Project Participant shall reimburse an Individual Development Account for any funds withdrawn from the account for an Emergency Withdrawal, not later than 12 months after the date of the withdrawal. If the Participant fails to make the reimbursement, the Project Grantee must transfer the funds deposited into the account or a parallel account from Federal and non-Federal matching contributions, and any income generated thereby, back to the Reserve Fund of the grantee, and use the funds to benefit other individuals participating in the demonstration project involved. Any remaining funds deposited by the Project Participant (plus any income generated thereby) shall be returned to such Project Participant.

(d) Transfers to Individual Development Accounts of Family Members. At the request of a Project Participant, and with the written approval of a responsible official of the grantee, amounts may be paid from an individual development account directly into another such account established for the benefit of an eligible individual who is—

(i) The Participant's spouse, or  
(ii) Any dependent of the Participant with respect to whom the Participant is

allowed a deduction under section 151 of the Internal Revenue Code of 1986.

*H. Project Eligibility and Requirements Under Priority Area 2.0*

(Not applicable)

*I. Non-Federal Matching Funds Requirements*

Grantees must provide at least one hundred percent of the OCS grant amount in cash non-Federal share for deposit to the Reserve Fund as matching contribution. Public sector resources that can be counted toward the minimum required match include funds from State and local governments, and funds from various block grants allocated to the States by the Federal Government providing the authorizing legislation for these grants permits such use. (Note, for example, that Community Development Block Grant (CDBG) funds may be counted as matching funds; whereas CSBG FUNDS, for example, may not.) To be considered for funding an Application must include a copy of a "Non-Federal Share Agreement" or Agreements in writing executed with the entity or entities providing the required non-Federal matching contributions, on letterhead of the entity and signed by a person authorized to make a commitment on behalf of the entity. Such Agreement(s) must include: (1) a commitment to provide the non-Federal funds contingent only on the grant award; (2) a schedule of deposits to the projects's Reserve Fund of at least ten percent of the total committed for the entire project at the start of each of the Project years, plus any additional amounts needed to assure that there are at all times in the Reserve Fund non-Federal matching contribution funds equal to the total amounts of such funds pledged as maximum matching contributions under the "Savings Plan Agreements" for all Individual Development Accounts then open and being maintained by the grantee as part of the demonstration project; and (3) a statement that up to 9.5 percent of the required non-Federal matching contribution funds it provides may be allocated from the Reserve Fund to the support of project administration, Participant support, data collection or other project-related expenses. (See Section G(1)(b), above, and PART VI, Section D(5)) Grantees are encouraged to mobilize additional resources, which may be cash or in-kind contributions, Federal or non-Federal, for support of project administration and assistance to Project Participants in obtaining skills, knowledge, and needed support services. (See Part V, Element IV).

**Note:** If a grantee mobilizes matching non-Federal contributions in excess of the required 100 percent match, such non-Federal funds may be used however the grantee and provider of the funds may agree. Grantees will be held accountable for commitments of such excess matching funds and additional resources proposed or pledged as part of an approved application even if over the amount of the required match.

*J. Preferences*

In accordance with the provisions of the AFI Act, in considering an application to conduct a demonstration project under Priority Area 1.0, OCS will give preference to an application that

(1) Demonstrates the willingness and ability of the applicant to select individuals for participation in the project who are predominantly from households in which a child (or children) is living with the child's biological or adoptive mother or father, or with the child's legal guardians;

(2) Provides a commitment of non-Federal funds with a proportionately greater amount of such funds committed from private sector sources; and

(3) Targets individuals residing within one or more relatively well-defined neighborhoods or communities (including rural communities, public housing developments, Empowerment Zones and Enterprise Communities) that experience high rates of poverty or unemployment.

*K. Multiple Applications*

Qualified Entities may submit more than one application for different demonstration projects, but no more than one such application will be funded to the same Qualified Entity.

*L. Treatment of Program Income*

As noted in Section G(1)(d), above, income generated from investment of unallocated funds in the Reserve Fund may be added to the funds already committed from the Reserve Fund to program administration, participant support, or evaluation data collection. However, once funds have been committed as matching contributions to Individual Development Accounts, then any income generated by such funds must be deposited proportionately to the credit of such accounts.

**Note:** No part of such income is to be considered as a Federal funds contribution subject to the \$2000/\$4000 limitations under Section G(5)(b), above. (See also Sections G(1)(d) and G(5)(a), above).

*M. Agreements With Partnering Financial Institutions*

All applicants under Priority Area 1.0 must enter into agreements with one or

more insured Financial Institutions, in collaboration with which Reserve Funds and Individual Development Accounts will be established and maintained. To be considered for funding, an Application under Priority Area 1.0 must include a copy of an Agreement or Agreements with one or more partnering Qualified Financial Institutions (or in the case of Individual Development Accounts established as Custodial Accounts, an insured financial institution satisfactory to the Secretary), which state(s) that the accounting procedures to be followed in account management will conform to Guidelines established by the Secretary (which will be issued prior to grant awards and made available to grantees at time of award), and under which the partnering Financial Institution agrees to provide data and reports as requested by the applicant. In the case of IDA's established as Trusts under Section G(3), above, the partnering financial institution must be a Qualified Financial Institution as defined in PART III Section D(12). In the case of IDA's established as Custodial Accounts, the partnering financial institution must be insured and must meet the requirements of Section G(4), above, to the satisfaction of the Secretary. The Agreement may also include other services to be provided by the partnering Financial Institution that could strengthen the program, such as Financial Education Seminars, favorable pricing or matching contributions provided by the Financial Institution, and assistance in recruitment of Project Participants.

#### **Part V. The Project Description, Program Proposal Elements and Review Criteria**

The project description provides a major means by which an application is evaluated and ranked to compete with other applications for available assistance. The project description should be concise and complete and should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. Cross-referencing should be used rather than repetition. OCS is particularly interested in specific factual information and statements of measurable goals in quantitative terms. Project descriptions are evaluated on the basis of substance, not length. Extensive exhibits are not required. (Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant

funded activity should be placed in an appendix.) Pages should be numbered and a table of contents should be included for easy reference.

#### **A. Project Summary**

Applicants should provide a Project Summary of not more than one page which should be page 1 of the Project Narrative/Description.

#### **B. Project Goals, Application Brevity**

The ultimate goals of the projects to be funded under the Assets for Independence Demonstration Program are: (1) to achieve, through project activities and interventions, the creation of asset accumulation opportunities for recipients of Temporary Assistance for Needy Families (TANF) and other eligible individuals and families that can lead to economic self-sufficiency of members of the communities served through activities requiring one or more qualified expenses; (2) to support and make possible the evaluation of 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 narrative project descriptions. The elements and format of these project descriptions, 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.

#### **C. Proposal Elements and Review Criteria for Applications Under Priority Area 1.0**

Applications which pass the initial screening 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. Scoring will be based on a total of 100 points.

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

(1) Adhere to the requirements in Part IV and incorporate each of the Elements and Sub-Elements below into their proposals, so as to:

(2) Describe convincingly a project that will develop new asset accumulation opportunities for TANF recipients and other eligible individuals and families that can lead to a transition from dependency to economic self-sufficiency through activities requiring one or more qualified expenses; and

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

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 must not be longer than 30 pages.

Element I. Organizational Experience and Administrative Capability. (Total Weight of 0 to 20 points)

Sub-Element I(a) Experience and Staffing. (Weight of 0-10 points)

The applicant should cite its capability and relevant experience in developing and operating programs which deal with poverty problems similar to those to be addressed by the proposed project, including the provision of supportive services to TANF recipients and other low income individuals and families seeking to achieve economic stability and self-sufficiency, as well as with evaluations and data collection. Applications should identify applicant 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 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.

Finally, the application must identify the two or three individual staff persons who will have the most 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 key staff persons who will administer and implement the project. The person identified as Project



Director should have supervisory experience, experience in working with financial institutions and budget related problems of the poor, 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.

It is suggested that applicants use no more than 3 pages for this sub-Element, not counting actual resumes or position descriptions, which should be included in an Appendix to the proposal.

**Sub-Element I(b) Ability to Assist Participants.** (Weight of 0–10 points)

The experience and ability of the applicant in recruiting, educating, and assisting project participants to increase their economic independence and general well-being through the development of assets. The application should cite the organization's experience in collaborative programming and operations which involve financial institutions and financial planning, budget counseling, educational guidance, preparation for home ownership, and self-employment training. The application should also cite the roles, responsibilities, and experience of any other organizations that will be collaborating with the Applicant to assist and support Project Participants in the pursuit of their goals under the project.

It is suggested that applicants use no more than 3 pages for this sub-Element. Any supportive materials or reports should be included in the Appendix to the proposal.

**Element II. Sufficiency of the Project Theory, Design, and Plan** (Total Weight of 0–40 points)

The degree to which the project described in the application appears likely to aid project participants in achieving economic self-sufficiency through activities requiring one or more qualified expenses.

OCS seeks to learn from the application why and how the project as proposed is expected to establish the creation of new opportunities for asset accumulation by eligible individuals and families that can lead to significant improvements in individual and family self-sufficiency through activities requiring one or more qualified expenses: for post-secondary education, home ownership, and/or qualified business capitalization.

Applicants are urged to design and present their project in terms of a conceptual cause-effect framework that makes clear the 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 0–15 points)

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. They should begin with assumptions about the strengths and needs of the population to be served; about how the accumulation of assets will enable project participants to build on those strengths in their quest to achieve self-sufficiency; about what anticipated needs of the participants could be barriers to that achievement, and why and how the services or interventions proposed by the applicant are appropriate and will meet those needs and remove such barriers; 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 participant strengths and potential to be supported and their needs and problems to be addressed by the project, and the applicant's theory of how its proposed interventions will address those strengths and needs 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 must precisely identify the target population to be served. The geographic area to be impacted should then be briefly described, citing the percentage of residents who are low-income individuals and TANF recipients, as well as the unemployment rate, and other data that are relevant to the project design.

The application should include an analysis of the identified personal barriers to employment, job retention 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.) The application should also include an analysis of the identified community systemic barriers which the project will seek to overcome. These might include 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. Applicants should be sure not to overlook the personal and family services and support needed by project participants after they are on the job which will enhance job retention and advancement, and help to assure that benefits attainable through asset accumulation are not wasted by crises beyond the participants' control.

**Note:** In accordance with the legislative preferences set forth in Part IV Section J, above, the maximum score for this sub-Element in the review of applications under Priority Area 1.0 will only be given to applications which

(1) Demonstrate the willingness and ability of the applicant to select individuals for participation in the project who are predominantly from households in which a child (or children) is living with the child's biological or adoptive mother or father, or with the child's legal guardians; and

(2) Target individuals residing within one or more relatively well-defined neighborhoods or communities (including rural communities, public housing developments, Empowerment Zones and Enterprise Communities) that experience high rates of poverty or unemployment.

Each of these preferences will be valued at 2 points in the proposal review, so that the absence of one will reduce the review score for the sub-Element by 2 points; the absence of both will reduce the review score by 4 points.

It is suggested that applicants use no more than 5 pages for this Sub-Element.

**Sub-Element II(b). Project Approach and Design: Interventions, Outcomes, and Goals.** (Weight of 0–20 points)

The Application should outline a plan of action which describes the scope and detail of how the proposed work will be accomplished and result in outcomes which will build on the strengths of the Program Participants and assist them to overcome the identified personal and systemic barriers to achieving 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 project participants to accumulate assets in Individual Development Accounts and use those assets for qualified expenses in a manner that will lead them to self-sufficiency?

In this sub-element the applicant should discuss all of the planned activities and interventions and should explain the reasons for taking the approaches proposed.

The application should include here a brief discussion of the following aspects of the proposed project:

(1) Plans for recruitment of participants into the program;

(2) Criteria for selection of participants from among the eligible target population;



(3) The proposed rate(s) for matching contributions to Individual Development Accounts. (If more than one rate project-wide is proposed, the rationale should be provided);

(4) The provisions of the "Savings Plan Agreements" proposed to be made with Project Participants and included in the Trust Agreements establishing Individual Development Accounts. (A sample Savings Plan Agreement may be provided to satisfy this criterion.) [See Part IV, Section G(3)(g) of this Announcement]

(5) The role of partnering financial institutions in account management and data collection and reporting;

(6) The role of the applicant and partners in providing training, counseling, and other types of support to participants, including those activities documented as in-kind contributions to the project under Element IV, below; and

(7) Any plans included in the proposed project for crisis intervention activities that will be able to provide assistance to participants so as to avoid emergency withdrawals which might jeopardize continued participation in the project.

It is suggested that applicants use no more than 9 pages for this Sub-Element, not including any sample "Savings Plan Agreement", which if provided should be included in an Appendix.

*Sub-Element II(c). Work Plan, Projections, Time Lines.* (Weight of 0-5 points)

Applicant should provide quantitative quarterly projections of the activities to be carried out and such information as the projected number of participants to be enrolled, the number of Individual Development Accounts to be opened, the number and amount of deposits, and the number and types of services provided to participants. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Applicant may be able to use a simple Gantt or time line chart to convey the work plan in minimal space.

It is suggested that applicants use no more than 2 pages for this Sub-Element.

*Element III. Evaluation Data: Adequacy of Plan for Providing Information for Evaluation.* (Weight of 0-15 points)

Applicant should identify the kinds of data to be collected, maintained, and/or disseminated. The AFI Act makes provision for a national evaluation of the demonstration program as a whole, and sets aside 2% of the appropriated funds for its support. In addition, each grantee must spend at least 2% of its grant funds (but not more than 9.5%) for

the collection of data needed to support the evaluation. This Element of the application will be judged on the adequacy of the plan for providing information relevant to an evaluation of the project.

**Note:** To achieve the maximum score for this Element in the review process, applications must include a statement that the applicant agrees to use the "MIS IDA" information system software developed by the Center for Social Development, or a comparable and compatible system, for the maintenance, collection, and transmission of data from the proposed project.

It is suggested that applicants use no more than 2 pages for this Element.

*Element IV. Commitment of Non-Federal Funds and Additional Resources.* (Weight of 0-15 points)

The aggregate amount of direct funds from non-federal public sector and from private sources that are formally committed to the project as matching contributions; and the mobilization of additional resources in support of project.

As noted below in Part VI, Paragraph D Initial OCS Screening, only applications which include written documentation of a commitment to the provision of a non-Federal share, in cash as distinguished from in-kind, of at least the amount of the total federal grant requested for the project will be considered for competitive review.

At the same time, OCS has determined that the strict legislative limitations on the use of Federal grant funds and of the minimum required non-Federal match (at least 90.5% of each must go toward matching deposits in Individual Development Accounts) mean that important training, counseling and support activities, critical to the success of a project, can only be supported by additional resources, both of the applicant itself and mobilized by the applicant in the community.

Consequently, applicants documenting only the required non-Federal 100% cash matching contributions to the project will receive no more than 8 points for this Element, subject to the Notation below regarding legislative preferences.

In this section the applicant should identify those additional resources, cash and in-kind, which will be dedicated to support of those activities and interventions identified in sub-Element II(b), such as training, counseling, and crisis intervention; and any staff activities described in Element III. Such resources may be existing programs of the applicant or a project partner, such as Family Development, Literacy classes, or Small Business Training, in

which Project Participants will be enrolled as part of their efforts to achieve self-sufficiency. This Element will be judged in the review process on the adequacy of the mobilized resources to support the activities and interventions described in sub-Element II(b). The commitment of such resources to the project must be documented in writing and submitted as an Appendix to the Application. Because such additional resources are not part of the legislatively mandated non-Federal matching requirement, these additional resources may be of Federal or non-Federal origin, public or private, in cash or in-kind. Applicants are reminded that they will be held accountable for commitments of such additional resources even if over the amount of the required match.

**Note:** In accordance with the legislative preferences set forth in Part IV Section J, above, the maximum score for this Element, in the review of applications under Priority Area 1.0 only, will only be given to applications which provide a commitment of required non-Federal cash matching contributions with a proportionately greater amount of such funds committed from private sector as opposed to public sources. This preference will be valued at 2 points in the proposal review, so that the absence of such a commitment will reduce the review score for the Element by 2 points.

It is suggested that no more than 3 pages be used for this Element, not including any letters of commitment or partnership agreements, which should be put in an Appendix to the proposal.

*Element V. Results or Benefits Expected: Significant and Beneficial Impacts.* (Weight of 0-10 points)

The proposed project is expected to produce permanent and measurable results that will reduce the incidence of poverty in the community and lead TANF recipients and other eligible individuals and families toward economic self-sufficiency. Results are expected to be quantifiable in terms of the number of Individual Development Accounts opened, their rate of growth, the number and size of withdrawals for each of the three qualified expenses, and the impact of the payment of those expenses on the participants' movement toward self-sufficiency.

Applicants should set forth their realistic goals and projections for attainment of these and other beneficial impacts of the proposed project.

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.

It is suggested that no more than 3 pages be used for this Element.

*D. Proposal Elements and Review Criteria for Application Under Priority Area 2.0*

(Not applicable)

*E. Funding Reconsideration*

After Federal funds are exhausted for this grant competition, applications which have been independently reviewed and ranked but have no final disposition (neither approved nor disapproved for funding) may again be considered for funding. Reconsideration may occur at any time funds become available within twelve (12) months following ranking. ACF does not select from multiple ranking lists for a program. Therefore, should a new competition based on the same review criteria be scheduled and applications remain ranked without final disposition, such applications will be entered into the rank order list for the new competition in accordance with their previous score. At the same time, such applicants will be informed of their opportunity instead to reapply for the new competition, if they so choose, and to the extent practical, in which case the previous application will be disregarded.

**Part VI. Application Procedures**

*A. Application Development/Availability of Forms*

In order to be considered for a grant under this program announcement, an application must conform to the Program Requirements set out in Part IV and be prepared in accordance with the guidelines set out in Part V, above. It must be submitted on the forms supplied in the attachments to this Announcement and in the manner prescribed below. Attachments A through I contain all of the standard forms necessary for the application for awards under this OCS program. These attachments and Parts VI and VII of this Announcement contain all the instructions required for submittal of applications.

Additional copies may be obtained by writing or telephoning the office listed under the section entitled **FOR FURTHER INFORMATION CONTACT:** at the beginning of this announcement. In addition, this Announcement is accessible on the Internet through the OCS Website for reading or downloading at "http://www.acf.dhhs.gov/programs/ocs" under "funding opportunities".

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, debarment regulations and the Certification Regarding Environmental Tobacco Smoke, set forth in Attachments G, I and H.

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

*B. Application Submission*

(1) Number of Copies Required. One signed original application and four copies should be submitted at the time of initial submission. (OMB 0970-0139)

(2) Deadline. Applications shall be considered as meeting the announced deadline of August 9, 1999 if they are received on or before the deadline date. Mailed applications must be sent to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of grants Management, Office of Child Support Enforcement, "Attention: IDA Program", 370 L'Enfant Promenade, SW., Washington, DC 20447.

Applications handcarried by applicants, applicant couriers, other representatives of the applicant, or by express or overnight delivery services 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., EDT, at the U.S. Department of Health and Human Services, Administration for Children and Families, Office of grants Management, Office of Child Support Enforcement, Mailroom, 2nd Floor (near loading dock), Aerospace Center, 901 D Street, SW., Washington, DC 20024, between Monday and Friday (excluding Federal holidays). The address must appear on the envelope/package containing the application with the note "Attention: IDA Program". (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.

(3) 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.

(4) Extension of deadlines. ACF may extend an application deadline when

circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruption of the mail service, or in other rare cases. Determinations to extend or waive deadline requirements rest with ACF's Chief Grants Management Officer.

*C. Intergovernmental Review*

This program is covered under Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities." Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

**Note:** State/Territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC, if applicable, or to ACF.

Attachment J is a Single Point of Contact List for participating jurisdictions.

The following jurisdictions have elected not to participate in the Executive Order process: Alabama, Alaska, American Samoa, Colorado, Connecticut, Kansas, Hawaii, Idaho, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Oklahoma, Oregon, Palau, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington. Applicants from these jurisdictions, for projects administered by federally recognized Indian Tribes, or which are States (under Priority Area 2.0) need take no action in regard to E.O. 12372. All remaining jurisdictions participate in the Executive Order process and have established SPOCs. Applicants from participating jurisdictions should contact their SPOCs as soon as possible to alert them of the prospective applications and receive 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. The applicant must submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a. Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline to comment on proposed 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: U.S. Department of Health and Human Services, Administration for Children and Families, Office of grants Management, Office of Child Support Enforcement, "Attention: IDA Program", 370 L'Enfant Promenade, SW, Washington, DC 20447.

#### *D. Initial OCS Screening*

Each application submitted under this program announcement will undergo a pre-review to determine that the application was received by the closing date and submitted in accordance with the instructions in this announcement.

All applications that meet the published deadline requirements as provided in this Program Announcement will be screened for completeness and conformity with the following 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 applicants except as noted:

(1) 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 VII and Attachments A, B, and C of this Program Announcement.

(2) 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 or commitment, Agreements with partnering organizations, 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 described in the program elements set out in Part V.

(3) 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).

(4) In the case of applications under Priority Area 1.0, application must contain documentation of the applicant's tax exempt status as required under Part IV, Section A.

(5) In the case of Application under Priority Area 1.0, the Application must include a copy of a "Non-Federal Share Agreement" or Agreements in writing executed with the entity or entities providing the required non-Federal matching contributions, on letterhead of the entity and signed by a person authorized to make a commitment on behalf of the entity. Such Agreement(s) must include: (1) a commitment to provide the non-Federal funds contingent only on the grant award; (2) a schedule of deposits to the project's Reserve Fund of at least ten percent of the total committed for the entire project at the start of each of the Project Years, plus any additional amounts needed to assure that there are at all times in the Reserve Fund non-Federal matching contribution funds equal to the total amounts pledged as maximum matching contributions under the "Savings Plan Agreements" for all Individual Development Accounts then open and being maintained by the grantee as part of the demonstration project; and (3) a statement that up to 9.5 percent of the required non Federal matching contribution funds it provides may be allocated from the Reserve Fund to the support of project administration, Participant support, data collection or other project-related expenses. (See PART IV Sections G(1)(b) and I.) Grantees are encouraged to mobilize additional resources, which may be cash or in-kind contributions, Federal or non-Federal, for support of project administration and assistance to Project Participants in obtaining skills, knowledge, and needed support services. (See Part V, Element IV).

**Note:** If a grantee mobilizes matching non-Federal contributions in excess of the required 100 percent match, such non-Federal funds may be used however the grantee and provider of the funds may agree. (See also Part IV, Section I)

(6) In the case of Application under Priority Area 1.0 the Application must include a copy of an Agreement between the Applicant and one or more Qualified Financial Institution(s), which states that the accounting procedures to be followed in account management will conform to Guidelines established by the Secretary (which will be issued prior to grant awards and provided to

grantees at time of award), and under which the partnering financial institution will agree to provide data and reports as requested by the applicant.

#### *E. Consideration of Applications Under Priority Area 1.0*

Applications which pass the initial OCS screening will be reviewed and rated by an independent review panel on the basis of the specific review criteria described in Part V, above. The review criteria were designed to assess the quality of a proposed project, and to determine the likelihood of its success. The evaluation criteria are closely related and are considered as a whole in judging the overall quality of an application. Points are awarded only to applications which are responsive to the review criteria within the context of this program announcement. 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; the amount and duration of the grant requested and the proposed project's consistency and harmony with OCS goals and policy; geographic distribution of applications; previous program performance of applicants; compliance with grant terms under previous HHS grants, including the actual dedication to program of mobilized resources as set forth in project applications; audit reports; investigative reports; and applicant's progress in resolving any final audit disallowances on previous OCS or other Federal agency grants.

Since non-Federal reviewers will be used for review of applications under Priority Area 1.0, applicants may omit from the application copies (under Priority Area 1.0 only) which will be made available to the non-Federal reviewers, the specific salary rates or amounts for individuals identified in the application budget. Rather, only summary information is required.

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. Consideration of Applications Under Priority Area 2.0*

(Not applicable)

**Part VII. Instructions for Completing Application Forms**

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 A and B) as modified by the OCS specific instructions set forth below:

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification which describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocability of the proposed costs.

*A. SF-424—Application for Federal Assistance (Attachment A) Top of Page*

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. If applicant is a State, enter "A" in the box. If applicant is an Indian Tribe enter "K" in the box. If applicant is a non-profit organization enter "N" in the box.

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

Item 10. The Catalog of Federal Domestic Assistance number for OCS programs covered under this announcement is 93.602. The title is "IDA 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:

I—Individual projects under Priority Area 1.0.

S—Statewide projects under Priority Area 2.0.

Item 13. Proposed Project—The project start date must begin on or before September 30, 1999; the ending date should be calculated on the basis of the 36- to 60-month Project Period.

Item 15a. This amount should be no greater than \$500,000 for applications under Priority Area 1.0.

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

*B. SF-424A—Budget Information—Non-Construction Programs (Attachment B)*

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 each year of the Project Period.

**Section A—Budget Summary**

You need only fill in lines 1 and 5 (with the same amounts)

Col. (a): Enter "IDA Program" as Item number 1. (Items 2, 3, 4, and 5 should be left blank.)

Col. (b): Catalog of Federal Domestic Assistance number is 93.602.

Col. (c) and (d): not relevant to this program.

Column (e)—(g): enter the appropriate amounts in items 1. and 5. (Totals) Column e should not be more than \$500,000 for applications under Priority Area 1.0; and in no case can it be more than the committed non-Federal matching cash contribution.

**Section B—Budget Categories**

(Note that the following information supersedes the instructions provided with the Form in Attachment C)

Columns (1)—(5): For each of the relevant Object Class Categories:

Column 1: Enter the OCS grant funds for the full 3- to 5-year budget period. With regard to Class Categories, at least 90.5 percent of OCS grant funds should be entered in "h. Other", representing the funds to be deposited in the Reserve Fund. At least 2 percent of OCS grant funds, for data collection, should be entered under "Other", "Contractual", and/or "Personnel" as appropriate. Up

to 7.5 percent of OCS grant funds, which may be for project administration and support, should be entered in Class Categories as appropriate.

Columns 2, 3 and 4 are not relevant to this program.

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

**Note:** Only out-of-town travel should be entered under Category c. Travel. Local travel costs should be entered under Category h. Other. Costs of supplies should be included under Category e. "Supplies" is tangible personal property other than "equipment". "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for financial statement purposes, or (b) \$5,000. Articles costing less should be included in "Supplies".

**Section C—Non Federal Resources**

This section is to record the amounts of "non-Federal" resources that will be used to support the project. In this context, "Non-Federal" resources mean other than the OCS funds for which the applicant is applying. Therefore, mobilized funds from other Federal programs, such as the Job Training Partnership Act program or the Welfare-to-Work program, should be entered on these lines. Provide a brief listing of these "non-Federal" resources on a separate sheet and describe whether it is a grantee-incurred cost or a third-party cash or in-kind contribution. The firm commitment of these resources must be documented and submitted with the application in order to be given credit in the review process under the Non-Federal Resources program element.

**(Note:** Even though non-Federal resources mobilized may go beyond the amount required as match under the IDA Program, grantees will be held accountable for any such cash or in-kind contribution proposed or pledged as part of an approved application. (See Part IV, Section I. and Part V, Element IV.)

*Sections D, E, and F* may be left blank by Applicants under Priority Area 1.0.

As noted in Part VIII, a supporting Budget Justification must be submitted providing details of expenditures under each budget category, with justification of dollar amounts which relate the proposed expenditures to the work program and goals of the project.

**C. SF-424B Assurances: Non-Construction Programs**

Applicants requesting financial assistance for a non-construction project

must file the Standard Form 424B, "Assurances: Non-Construction Programs." (Attachment C) 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. (See Attachments D and E) Applicants must sign and return the certification with their applications. Applicants should note that the Lobbying Disclosure Act of 1995 has simplified the lobbying information required to be disclosed under 31 USC 1352.

Applicants must make the appropriate certification on their compliance with the Drug-Free Workplace Act of 1988 and the Pro-Children Act of 1994 (Certification Regarding Smoke Free Environment). (See Attachments G and H) By signing and submitting the applications, applicants are attesting to their intent to comply with these requirements 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. (See Attachment I) 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 assurances are located at the end of this announcement.

#### **Part VIII. Contents of Application and Receipt Process**

Application pages should be numbered sequentially throughout the application package, beginning with an Abstract of the proposed project as page number one; and each application must include all of the following, in the order listed below:

##### **A. Content and Order of IDA Program Application**

1. Table of Contents;
2. An Abstract of the project—very brief, not to exceed 300 words, that would be suitable for use in an announcement that the application has been selected for a grant award; which identifies the type of project(s), the target population, the applicant, partners, and the major elements of the work plan.

3. A completed Standard Form 424 (Attachment A) 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];

4. A completed Budget Information-Non-Construction Programs (SF-424A) (Attachment B);

5. A narrative budget justification for each object class category included under Section B;

6. Proof of tax-exempt status;

7. A *project narrative*, limited to the number of pages specified below, which includes all of the required elements described in Part V. [Specific information/data required under each component is described in Part V Section C, Application Elements and Review Criteria.]

8. *Appendices*, which should include the following:

- a. Filled out, signed and dated *Assurances—Non-Construction Programs* (SF-424B), Attachment C;

- b. *Restrictions on Lobbying—Certification for Contracts, Grants, Loans, and Cooperative Agreements*: filled out, signed and dated form found at Attachment D;

- c. *Disclosure of Lobbying Activities, SF-LLL*: Filled out, signed and dated form found at Attachment E, if appropriate (omit Items 11–15 on the SF LLL and ignore references to continuation sheet SF-LLL-A)

- d. *Maintenance of Effort Certification* (See Attachment F);

- e. Signed *Agreement with partnering Financial Institution(s)* (in the case of Application under Priority Area 1.0 only);

- f. Signed *Agreements with providers of Required non-Federal matching contributions* (see Program Element IV);

- g. Resumes and/or position descriptions;

- h. Any letters from cooperating or partnering agencies in target communities. [Such letters are not part of the Narrative and should be included in the Appendices. These letters are therefore not counted against the page limitations of the Narrative.]; and

- i. Single points of contact comments, if applicable.

Applications must be uniform in composition since OCS may find it necessary to duplicate them for review purposes. Therefore, applications must be submitted on white 8½ x 11 inch paper only. They must not include colored, oversized or folded materials. Do not include organizational brochures or other promotional materials, slides, films, clips, etc. in the proposal. They will be discarded if included. The applications should be two-hole punched at the top center and fastened separately with a compressor slide paper fastener, or a binder clip. The

submission of bound plans, or plans enclosed in binders is specifically discouraged.

##### **B. Acknowledgement of Receipt**

Acknowledgment of Receipt—All applicants will receive an acknowledgment with an assigned identification number. Applicants are requested to supply a self-addressed mailing label with their Application, or a FAX number or e-mail address which can be used for acknowledgement. The assigned identification number, along with any other identifying codes, must be referenced in all subsequent communications concerning the Application. If an acknowledgment is not received within three weeks after the deadline date, please notify ACF by telephone at (202) 401-5103.

#### **Part VII. 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**

OCS hopes to sponsor one or more national evaluation workshops in Washington, D.C. or in other locations during the course of the five-year project. Project Directors will be expected to attend such workshops provided funds can be made available by OCS for expenses of attending.

##### **C. Reporting Requirements**

Grantees will be required to submit a semi-annual program progress and financial report (SF 269) covering the six months after grant award, and similar reports after conclusion of the first Project Year. Such reports will be due 60 days after the reporting period. Thereafter grantees will be required to submit annual program progress and financial reports (SF 269), as well as a final program progress and financial report within 90 days of the expiration of the grant.

##### **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 H, 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 Assets for Independence Demonstration Program.

Dated: June 16, 1999.

**Donald Sykes,**

*Director, Office of Community Services.*

**Assets for Independence Demonstration Program***List of Attachments*

Attachment A: Application for Federal Assistance

Attachment B: Budget Information—Non-Construction Programs

Attachment C: Assurances—Non-Construction Programs

Attachment D: Certification Regarding Lobbying

Attachment E: Disclosure of Lobbying Activities

Attachment F: Certification Regarding Maintenance of Effort

Attachment G: Certification Regarding Drug-Free Workplace Requirements

Attachment H: Certification Regarding Environmental Tobacco Smoke

Attachment I: Certification Regarding Debarment, Suspension and Other Responsibility Matters

Attachment J: E.O. 12372 State Single Point of Contact List

Attachment K: DHHS Regulations Applying to All Applicants/Grantees Under the Assets for Independence Demonstration program (IDA Program)

BILLING CODE 4184-01-P

## Attachment A

APPLICATION FOR  
FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□ - □□□□□□□□		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/>	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify) _____	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> □□ - □□□□		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>			
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b>			
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ .00	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	
c. State	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
d. Local	\$ .00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

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Prescribed by OMB Circular A-102



**Instructions for the SF-424**

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

Please do not return your completed form to the Office of Management and Budget. Send it to the address provided by the sponsoring agency.

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

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) and 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 4181-01-M**

OMB Approval No. 0348-0044

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

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

**SECTION B - BUDGET CATEGORIES**

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				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	\$	\$	\$	\$	\$

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Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
13. Federal	\$	\$	\$	\$	
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

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Standard Form 424A (Rev. 7-97) Page 2

**Instructions for the SF-424A**

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

Please do not return your completed form to the Office of Management and Budget. Send it to the address provided by the sponsoring agency.

**General Instructions**

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories should 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, either 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 program require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) Through (g)

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

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

Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

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

Line 5—Show the totals for all columns used.

**Section B. Budget Categories**

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

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

Line 6j—Show the amount of indirect cost.

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

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

**Section C. Non-Federal Resources**

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

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

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

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

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

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

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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 C—Assurances—Non-Construction Programs**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the

data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

Please do not return your completed form to the Office of Management and Budget. Send it to the address provided by the sponsoring agency.

**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 cost) 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, 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 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and

Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal Assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

8. Will comply, as applicable, with 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 (Clean Air) Implementation Plans under Section 176(c) of the Clean 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 Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

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

**Attachment D—Administration for Children and Families, U.S. Department of Health and Human Services**

*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 an agency, a Member of Congress, an officer or employee of a Member of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or

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

(3) the undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made

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

#### Statement for Loan Guarantees 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 \_\_\_\_\_

BILLING CODE 4184-01-M

#### Attachment E

### DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____			<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____		
<b>6. Federal Department/Agency:</b>			<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____		
<b>8. Federal Action Number, if known:</b>			<b>9. Award Amount, if known:</b> \$ _____		
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):			<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):		
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
<b>Federal Use Only:</b>				Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

### Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawardee recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; invitation for Bid (IFB) number, grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to collection of information unless it displays a valid OMB Control Number. The valid OMB control number of this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

### Attachment F— Administration for Children and Families, U.S. Department of Health and Human Services

#### Certification Regarding Maintenance of Effort

In accordance with the applicable program statute(s) and regulation(s), the undersigned certifies that financial assistance provided by the Administration for Children and Families, for the specified activities to be performed under the

\_\_\_\_\_ Program  
by \_\_\_\_\_ (Applicant Organization), will be in addition to, and not in substitution for, comparable activities previously carried on without Federal assistance.

\_\_\_\_\_  
Signature of Authorized Certifying Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

### Attachment G—HHS CFR Title 45

#### Part 76, Appendix C: Drug-free Certification

#### Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)

#### Certification Regarding Drug-Free Workplace Requirements

##### Instructions for Certification

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

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards 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, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. 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.

6. 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).

7. If the workplace identified to the agency 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 paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantee's 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 Substance Act (21 U.S.C. 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, 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 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).



### *Certification Regarding Drug-Free Workplace Requirements*

Alternate I. (Grantees Other Than Individuals)

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

1. 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;

2. 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;

3. 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);

4. 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;

5. Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (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 receipt of such notices. Notice shall include the identification number(s) of each affected grant;

6. Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is 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;

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

2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (Street address, city, county, state, zip code).

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

Alternate II. (Grantees Who Are Individuals)—

1. The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

2. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

### **Attachment H—Administration for Children and Families, U.S. Department of Health and Human Services**

#### *Certification Regarding Environmental Tobacco Smoke*

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the pro Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for any entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirement of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

### **Attachment I—HHS CFR Title 45**

#### **Part 76, Appendix A: Debarment Certification (Primary)**

#### **Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)**

#### *Certification Regarding Debarment, Suspension, and Other Responsibility Matters (Primary Covered Transactions)*

##### Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's 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.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower

Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (Tel. 1B).

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

3. Are not presently indicted for 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

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

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Attachment J—State Single Point of Contact Listing Maintained by OMB**

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," Section 4, "the Office of Management and Budget (OMB) shall maintain a list of official State entities designated by the States to review and coordinate proposed Federal financial assistance and direct Federal development." This attached listing is the OFFICIAL OMB LISTING. This listing is also published in the Catalogue of Federal Domestic Assistance biannually.

***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) 280-8144, e-mail: jonis@ep.state.az.us

**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

**California**

Grants Coordinator, Office of Planning and Research/State Clearinghouse, 1400 10th Street, Room 121, Sacramento, California 95814, Telephone: (916) 323-7480, FAX: (916) 323-3018

**Delaware**

Francine Booth, State Single Point of Contact, Executive Department, Office of the Budget, 540 S. duPont Hi., Suite 5, Dover, Delaware 19901, Telephone: (302) 739-3326, FAX: (302) 739-5661

**District of Columbia**

Charles Nichols, State Single Point of Contact, Office of Grants Management and Development, 717 14th Street, N.W.—Suite 1200, Washington, D.C. 20005, Telephone: (202) 727-6537, FAX: (202) 727-1617, e-mail: charlesnic@yahoo.com or cnichols-ogmd@dcm.gov

**Florida**

Cherie L. Trainor, Coordinator, Florida State Clearinghouse, Department of Community Affairs, 2555 Shumard Oak Boulevard, Tallahassee, Florida 32399-2100, Telephone: (850) 922-5438 or (850) 414-

\* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The jurisdictions not listed no longer participate in the process BUT GRANT APPLICANTS ARE STILL ELIGIBLE TO APPLY FOR THE GRANT EVEN IF YOUR STATE, TERRITORY, COMMONWEALTH, ETC. DOES NOT HAVE A "STATE SINGLE POINT OF CONTACT." JURISDICTIONS WITHOUT "STATE SINGLE POINTS OF CONTACTS" INCLUDE: Alabama; Alaska; American Samoa; Colorado; Connecticut; Kansas; Hawaii, Idaho; Louisiana; Massachusetts; Minnesota; Montana; Nebraska; New Jersey; Ohio; Oklahoma; Oregon; Palau; Pennsylvania; South Dakota; Tennessee; Vermont; Virginia; and Washington.

5495, FAX: (850) 414-0479, e-mail: cherie.trainor@dca.state.fl.us

**Georgia**

Debra S. Stephens, Coordinator, Georgia State Clearinghouse, 270 Washington Street, S.W.—8th Floor, Atlanta, Georgia 30334, Telephone: (404) 656-3855, FAX: (404) 656-7901, e-mail: ssda@mail.opb.state.ga.us

**Illinois**

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This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Domestic Assistance.

**Attachment K—DHHS Regulations Applying to all Applicants/Grantees Under the Assets for Independence Demonstration Program (IDA Program)**

Title 45 of the Code of Federal Regulations:

Part 16—Department of Grant Appeals Process

Part 74—Administration of Grants (grants with 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

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