

deceptive acts or practices of unfair methods of competition. The attached Analysis to Aid Public Comment describes both the allegations in the draft complaint that accompanies the consent agreement—that would settle these allegations.

DATES: Comments must be received on or before February 26, 1999.

ADDRESSES: Comments should be directed to: FTC/Office of the Secretary, Room 159, 600 Pa. Ave., NW, Washington, DC 20580.

FOR FURTHER INFORMATION CONTACT: Matthew D. Gold or Linda K. Badger, San Francisco Regional Office, Federal Trade Commission, 901 Market Street, Suite 570, San Francisco, California 94103, (415) 356-5270.

SUPPLEMENTARY INFORMATION: Pursuant to Section 6(f) of the Federal Trade Commission Act, 38 Stat. 721, 15 U.S.C. 46 and Section 2.34 of the Commission's Rules of Practice (16 CFR 2.34), notice is hereby given that the above-captioned consent agreement containing a consent order to cease and desist, having been filed with and accepted, subject to final approval, by the Commission, has been placed on the public record for a period of sixty (60) days. The following Analysis to Aid Public Comment describes the terms of the consent agreement, and the allegations in the complaint. An electronic copy of the full text of the consent agreement package can be obtained from the FTC Home Page (for December 21, 1998), on the World Wide Web, at "http://www.ftc.gov/os/actions97.htm." A paper copy can be obtained from the FTC Public Reference Room, Room H-130, 600 Pennsylvania, NW, Washington, DC 20580, either in person or by calling (202) 326-3627. Public comment is invited. Such comments or reviews will be considered by the Commission and will be available for inspection and copying at its principal office in accordance with Section 4.9(b)(6)(ii) of the Commission's Rules of Practice (16 CFR 4.9(b)(6)(ii)).

Analysis of Proposed Consent Order To Aid Public Comment

The Federal Trade Commission has accepted an agreement, subject to final approval, to a proposed consent order from General Signal Power Systems, Inc., a Wisconsin corporation.

The proposed consent order has been placed on the public record for sixty (60) days for reception of comments by interested persons. Comments received during this period will become part of the public record. After sixty (60) days, the Commission will again review the agreement and the comments received

and will decide whether it should withdraw from the agreement or make final the agreement's proposed order.

General Signal Power Systems, Inc. ("GSPS"), through its division, Best Power, manufactures and markets computer-related products, including the "Patriot" and "Fortress" uninterruptible power systems ("UPS"). Uninterruptible power systems are devices that protect consumer appliances, such as personal computers, from damage resulting from power disturbances or power failures.

The Commission's complaint charges the GSPS's advertising contained false and unsubstantiated claims regarding the extent to which these devices can reduce a consumer's computer problems. Specifically, the complaint alleges that GSPS made unsubstantiated claims that: (1) Best Power products can reduce computer problems, such as crashed networks, crashed hard drives, faulty data transmissions, read/write errors, premature failure of components, system lockups, corrupted or lost data, by up to 80%; (2) Best Power products can reduce computer and network downtime up to 80%; (3) 80% of a typical computer's downtime is due to power problems, rather than to hardware or software problems; and (4) a Patriot or Fortress UPS can reduce the number of calls for computer service by 82%.

The Commission's complaint also alleges that GSPS made a false claim that a five-year power quality study showed that the number of calls for computer service dropped 82% after installation of a UPS. In fact, the complaint states that the 82% figure cited in the advertisements was taken from a one-time customer survey. Moreover, the complaint alleges that the underlying consumer survey offered to support the claim that consumers experienced an 82% reduction in computer problems after the installation of a Patriot or Fortress UPS was not competent and reliable. As an example, the complaint alleges that this consumer survey only considered the experience of purchasers of UPSs which feature a "ferroresonant transformer." UPSs which include this feature provide a higher degree of protection from power disturbances than do the Patriot or Fortress models shown in the advertisements at issue.

The proposed consent order contains provisions designed to remedy the violations charged and to prevent the respondent from engaging in similar acts and practices in the future. Part I of the proposed order would prevent GSPS from making any representations regarding UPSs, or any substantially

similar product, about: (1) The ability of any such product to reduce computer and network downtime; or (2) The extent to which any such product reduces the number of calls for computer service, unless it possesses and relies upon competent and reliable scientific evidence that substantiates the representations.

To remedy GSPS's misrepresentations regarding the consumer survey, part II of the proposed order prohibits GSPS from misrepresenting, in any manner, expressly or by implication, the existence, contents, validity, results, conclusions or interpretations of any test, study, or research regarding any product. As fencing-in relief, Part III of the proposed order would require the company to possess and rely upon competent and reliable evidence to substantiate any claim regarding the benefits, performance, or efficacy of any computer-related product.

Finally, the proposed order requires the respondent to maintain materials relied upon to substantiate claims covered by the order; to provide copies of the order to certain personnel of the respondent; to notify the Commission of any changes in corporate structure that might affect compliance with the order; and to file one or more reports detailing compliance with the order.

The purpose of this analysis is to facilitate public comment on the proposed order. It is not intended to constitute an official interpretation of the agreement and proposed order or to modify in any way their terms.

By direction of the Commission.

Donald S. Clark,

Secretary.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

Request for Applications Under the Office of Community Services' Fiscal Year 1999 Combined Program Announcement No. OCS.99.01

AGENCY: Office of Community Services, ACF, DHHS.

ACTION: Announcement of availability of funds and request for applications under the Office of Community Services' Fiscal Year (FY) 1999 Combined Program Announcement No. OCS.99.01.

SUMMARY: The Office of Community Services (OCS) invites eligible entities

to submit applications for FY 1999 funding of competitive grants serving low income persons and families under the following OCS programs:

- (1) Urban and Rural Community Economic Development
 - (2) Community Food and Nutrition
 - (3) Job Opportunities for Low-Income Individuals
- Residential Energy Assistance Challenge (REACH) Option Program

The Office of Community Services intends to publish a second Fiscal Year 1999 Combined Program Announcement at a later date to include the following programs: (1) CSBG/ Training, Technical Assistance and Capacity Building; and (2) Family Violence Prevention and Services. In addition, OCS intends to publish in the **Federal Register** a separate program announcement soon for a new program, The Assets for Independence Demonstration Program. Applications received in response to this FY 1999 Combined Program Announcement OCS.99.01 will be screened and evaluated as indicated in this document. Awards will be contingent on the outcome of the competition and the availability of funds. There is no limit on the number of applications that can be submitted under a specific Program/ Priority Area as long as each application contains a proposal for a different project. *However, an applicant can receive only one grant in each Program/ Priority Area.* Also, applicants that receive more than one grant for a common budget/project period must be mindful that salaries and wages claimed for the same persons cannot collectively exceed 100% of total annual salary.

ADDRESSES: Prior to submitting an application, potential applicants must obtain a copy of the Application Kit, containing additional program information, forms, and instructions. Application Kits are available by writing or calling the Office of Community Services at 5th Floor West, Aerospace Building, 370 L'Enfant Promenade, SW, Washington, DC 20447.

To obtain a copy of the applicable Application Kit, call:
(202) 401-9354 and 401-9345 for Community Economic Development
(202) 401-9354 and 401-9345 for Community Food and Nutrition Kit
(202) 401-1195 for REACH and/or JOLI Kit

FOR FURTHER INFORMATION CONTACT: Requests for program-specific technical information should be directed to the Program Contact Person identified for each program covered by FY 1999 Combined Program Announcement OCS.99.01.

A copy of the **Federal Register** containing FY 1999 Combined Program Announcement OCS.99.01 is available for reproduction at most local libraries and Congressional District Offices. It is also available on the Internet through GPO Access at the following web address:

http://www.access.gpo.gov/su_docs/aces/aces140.html

If FY 1999 Combined Program Announcement OCS.99.01 is not available at these sources, it may be obtained by writing to the office listed under **ADDRESSES** above.

APPLICATION DEADLINES: The closing dates for submission of applications are provided in the Supplementary Information section of the FY 1999 Combined Program Announcement. Mailed applications postmarked after the closing date will be classified as late. Refer to **APPLICATION SUBMISSION** below for other details.

SUPPLEMENTARY INFORMATION:

A. Program Announcements

Individual Program Announcements *for FY 1999 will not be published in the Federal Register*. Rather, OCS is publishing FY 1999 Combined Program Announcement OCS.99.01 in the **Federal Register**. Where applicable, FY 1999 Combined Program Announcement OCS.99.01 contains the following information for each of the above-listed programs: Program Contact Person; Date of Application Kit; Application Deadline; Legislative Authority; Eligible Activities; Type of Awards; Project Periods and Budget Periods; Eligible Applicants and Availability of Funds; and Review Criteria. Detailed information on how to obtain Application Kits containing additional program information, forms, and instructions for preparing and submitting applications can be found in the next paragraph.

B. General Instructions

In order to be considered for a grant under the FY 1999 Combined Program Announcement OCS.99.01, an application must be submitted on the forms supplied and in the manner prescribed by OCS in the applicable Application Kit. When requesting an Application Kit, the applicant must specify the particular Program for which detailed information is desired. This is to ensure receipt of all necessary forms and information, including any program-specific evaluation criteria. Application Kits for each program include all necessary forms and instructions; they are available for

reading and downloading from the Internet at the OCS Website at:
<http://www.acf.dhhs.gov/programs/ocs>

C. Application Submission

Mailed applications shall be considered as meeting an announced deadline if they are either received on or before the deadline date or sent on or before the deadline date and received by ACF in time for the independent review to: U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit Resolution, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447; with the note "Attention: [insert Name of Program or CFDA No.]".

Mailed applications for the REACH program should be addressed to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services, Division of Community Demonstration Programs, 370 L'Enfant Promenade, S.W., 5th Floor West, Washington, D.C. 20447; Attention: Application for REACH Program.

Applicants must ensure that a legibly dated U.S. Postal Service postmark or a legibly dated, machine produced postmark of a commercial mail service is affixed to the envelope/package containing the application(s). To be acceptable as proof of timely mailing, a postmark from a commercial mail service must include the logo/emblem of the commercial mail service company and must reflect the date the package was received by the commercial mail service company from the applicant. Private Metered postmarks shall not be acceptable as proof of timely mailing. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

Applications handcarried by applicants, applicant couriers, or by other representatives of the applicant 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., EST, at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit Resolution, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, S.W., Washington, D.C. 20024, between Monday and Friday (excluding Federal holidays). The address must appear on the envelope/ package containing the application with the note "Attention: [insert Program Name or CFDA No.]". (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

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

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

Extension of deadlines: ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruptions of the mail service. Determinations to extend or waive deadline requirements rest with ACF's Chief Grants Management Officer.

D. Programs Included in This Combined Program Announcement

Pertinent information of concern for potential applicants for each of the above-listed programs is set forth below:

1. Urban and Rural Community Economic Development (CFDA No. 93.570) Deadline Date: April 23, 1999.

(A) *Program Contact Person:* Thornell Page (202) 401-5333 or Thelma Woodland (202) 401-5294.

(B) *Date of Application Kit:* January 22, 1999.

(C) *Application Deadline:* Applications must be *POSTMARKED* by April 23, 1999. Detailed application submission instructions are included in the Application Kit.

(D) *Legislative Authority:* Section 681(a) and 681(b)(2) of the Community Services Block Grant Act, as amended; and the Coats Human Services Reauthorization Act of 1998 (P.L. 105-285).

(E) *Type of Awards:* Grants.

(F) *Project Periods and Budget Periods:* For Sub-Priority Areas 1.1, 1.2, and 1.4, applicants with projects involving construction only may request a project period of up to 60 months and a budget period of up to 36 months. Applicants for non-construction projects under these priority areas may request project periods of up to 36 months and budget periods of up to 17 months. Sub-Priority Areas 1.5 and 1.6 may request project and budget periods of up to 17 months. For Sub-Priority Area 2.1, grantees will be funded for 24 month project and budget periods. For Sub-Priority Area 1.3, applicants may request project and budget periods of up to 12 months.

(G) *Eligible Applicants and Availability of Funds:* The OCS is authorized to make funds available to

support program activities of national or regional significance to alleviate the causes of poverty in distressed communities with special emphasis on community and economic development activities:

(1) **Operational Grants (Sub-Priority Area 1.1):** Funds are awarded for the purpose of providing employment and ownership opportunities for low-income people through business, physical or commercial development. Eligible applicants are private, locally initiated, non-profit community development corporations (CDCs), governed by a board consisting of low income residents of the community and business and civic leaders which have as a principal purpose planning, developing, or managing low income housing or community development projects.

Funds Available: \$17,000,000. Approximately 30 grants will be awarded competitively.

(2) **Historically Black Colleges and Universities (Sub-Priority Area 1.2):** Funds are awarded to CDCs in conjunction with HBCUs for the purposes stated above. The CDC must partner with an HBCU and the HBCU must play a significant role in the project. Maximum grant award will not exceed \$350,000.

Funds Available: \$2,100,000. Approximately 6 grants will be awarded competitively.

(3) **Pre-Development Grants (Sub-Priority Area 1.3):** Funds are provided to recently established CDCs which need funds for evaluating the feasibility of potential projects which address identified needs in low income communities, develop a business plan related to one of those projects, and mobilize resources to be contributed to one of those projects. Eligible applicants are private, locally initiated, non-profit community development corporations (CDCs), governed by a board consisting of low income residents of the community and business and civic leaders. In addition, the CDCs must not have received prior OCS funding; have been in existence for no more than 3 years or have been in existence longer than 3 years, but have no record of participating in economic development-type projects. Maximum grant award will not exceed \$75,000.

Funds Available: \$750,000. Approximately 10 grants will be awarded competitively.

(4) **Developmental Grants (Sub-Priority Area 1.4):** Funds are awarded in the form of discretionary grants through a competitive process to provide employment and community development opportunities for low

income individuals through business, physical or commercial development. Maximum grant award will not exceed \$250,000. Eligible applicants are organizations which received pre-development grants from OCS in FY 1997 and FY 1998.

Funds Available: \$2,500,000. Approximately 10 grants will be awarded competitively.

(5) **Administration and Management Expertise (Sub-Priority Area 1.5):** Funds are awarded in the form of discretionary grants through a competitive process to provide administrative and management expertise to OCS-funded grantees who have less experience in dealing with the day-to-day issues and challenges presented in promoting community economic development as well as to those grantees who have encountered difficulties in operationalizing their work program.

Eligible applicants are OCS-funded grantees that have completed several successful projects.

Funds Available: \$500,000. Approximately 1 grant will be awarded competitively.

(6) **Training and Technical Assistance (Sub-Priority Area 1.6):** Funds are awarded in the form of discretionary grants through a competitive process to develop instructional programs, national conferences, seminars, and other activities to assist community development corporations (CDCs).

Eligible applicants are private non-profit organizations. Applicants must operate on a national basis and have significant and relevant experience in working with CDCs.

Funds Available: \$210,000. Approximately 1 grant will be awarded competitively.

(7) **Rural Community Development Activities (Sub-Priority 2.0):** Funds are provided to help low income rural communities develop the capability and expertise to establish and/or maintain affordable, adequate and safe water and waste water treatment facilities.

Eligible applicants are multi-state, regional private non-profit organizations that can provide training and technical assistance to small, rural communities in meeting their community facility needs.

Funds Available: \$3,500,000. Approximately 8 grants will be awarded competitively.

(H) *Review Criteria for Urban and Rural Community Economic Development Applications (Criteria Listed Below):*

1. Criteria for Review and Evaluation of All Applications Submitted Under Sub-Priority Areas 1.1, 1.2, and 1.4

(a) Criterion I: Analysis of Need (Maximum: 5 points)

The application documents that the project addresses a vital need in a distressed community. (0–3 points)

Most recent available statistics and other information are provided in support of its contention. (0–2 points)

(b) Criterion II: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 25 points).

(i) Organizational Experience in Program Area (sub-rating: 0–15 points).

Documentation provided indicates that projects previously undertaken have been relevant and effective and have provided permanent benefits to the low-income population. (0–5 points)

The applicant has demonstrated the ability to implement major activities in such areas as business development, commercial development, physical development, or financial services; the ability to mobilize dollars from sources such as the private sector (corporations, banks, etc.), foundations, the public sector, including State and local governments, or individuals; that it has a sound organizational structure and proven organizational capability; and an ability to develop and maintain a stable program in terms of business, physical or community development activities that will provide needed permanent jobs, services, business development opportunities, and other benefits to community residents. (0–10 points)

(ii) Staff Skills, Resources and Responsibilities (sub rating: 0–10 points).

The application describes in brief résumé form the experience and skills of the project director who is not only well qualified, but his/her professional capabilities are relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. (0–5 points)

The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. (0–2 points)

The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient time of senior staff will be budgeted to assure timely implementation and cost-effective management of the project. (0–3 points)

(c) Criterion III: Project Implementation (Maximum: 25 points).

The Work Plan, or Business Plan where appropriate, is both sound and feasible. Briefly, the plan should describe the key work tasks and show how the project objectives will be accomplished including the development of business and creation of jobs for low-income persons during the allowable OCS project period. The project is responsive to the needs identified in the Analysis of Need. (0–5 points).

It sets forth realistic quarterly time targets by which the various work tasks will be completed. (0–5 points).

Critical issues or potential problems that might impact negatively on the project are defined and the project objectives can be reasonably attained despite such potential problems. (0–5 points).

The application contains a full and accurate description of the proposed use of the requested financial assistance. Also, if the project proposes the development of a new or expanding business, service, physical or commercial activity, the application must address applicable elements of a business plan. Refer to the section on "Instructions for Completing Application Package" found in the Application Kit for details. Special attention should be given to assure that the financial plan element, which indicates the project's potential and timetable for financial self-sufficiency, is included. It must include the following exhibits for the first three years (on a quarterly basis) of business' operations:

Profit and Loss Forecasts, Cash Flow Projections and Proforma Balance Sheets. Also, an initial Source and Use of Funds statement for all project funding must be included. (0–10 points)

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

(i) Significant and Beneficial Impact (sub-rating: Maximum: 0–5 points)

The proposed project will produce permanent and measurable results that will reduce the incidence of poverty and AFDC/TANF assistance in the community. (0–3 points)

The OCS grant funds, in combination with private and/or other public resources, are targeted into low-income communities, distressed communities, and/or designated enterprise zones and enterprise communities. (0–2 points)

(ii) Community Empowerment Consideration and Partnership with Child Support Enforcement Agency (Maximum: 0–5 points)

Special consideration will be given to applicants who are located in areas

which are characterized by poverty and other indicators of socio-economic distress such as a poverty or AFDC/TANF assistance rate of at least 20%, designation as an Empowerment Zone or Enterprise Community (EZ/EC), high levels of unemployment, high levels of incidences of violence, gang activity, crime, drug use and low-income noncustodial parents of children receiving AFDC/TANF. (0–3 points)

Applicants should document that they were involved in the preparation and implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner; and how the proposed project will support the goals of that plan. Also applicants should document that they have entered into partnership agreements with local Child Support Enforcement agencies to increase capability of low-income parents and families to fulfill their parental responsibilities. (0–2 points)

Note: Applicants that have projects located in EZ/EC target areas or those who have included signed current agreements with child support enforcement agencies will automatically receive the maximum 2 points.

(iii) Cost-per-Job (sub-rating: 0–5 points)

During the project period, the proposed project will create new, permanent jobs or maintain permanent jobs for low-income residents at a cost-per-job below \$15,000 in OCS funds *unless* there are extenuating circumstances, i.e., Alaska where the cost of living is much higher.

Note: The maximum number of points will be given to those applicants proposing estimated cost-per-job for low-income residents of \$10,000 or less of OCS requested funds. Higher cost-per-job estimates will receive correspondingly fewer points unless adequately justified by extenuating circumstances.)

(iv) Career Development Opportunities (sub-rating: 0–5 Points)

The application documents that the jobs to be created for low-income people have career development opportunities which will promote self-sufficiency.

(e) Criterion V: Public-Private Partnerships (Maximum: 20 Points)

(i) Mobilization of resources: (sub-rating: 15 points)

The application documents that the applicant will mobilize from public and/or private sources cash and/or in-kind contributions valued at an amount equal to the OCS funds requested. Applicants documenting that the value of such contributions will be at least equal to the OCS funds requested will receive the maximum number of points

for this sub-criterion. Lesser contributions will be given consideration based upon the value documented.

Note 1: Cash resources such as cash or loans contributed from all project sources (except for those contributed directly by the applicant) must be documented by letters of commitment from third parties making the contribution. Third party in-kind contributions such as equipment or real property contributed by applicant or third parties must be documented by an inventory for equipment and a copy of deed or other legal document for real property. In addition, future or projected program income such as gross or net profits from the project or business operations will not be recognized as mobilized or contributed resources.

Note 2: Applicants under Sub-Priority Area 1.2 who have a signed, written agreement for a partnership with Historically Black Colleges and Universities are deemed to have fully met this criterion and will receive the maximum number of points if they include the agreement with the HBCU.

(ii) *Integration/coordination of services: (sub-rating: 5 points).*

The applicant demonstrates a commitment to or agreements with local agencies responsible for administering, child support enforcement, employment, education and training programs (such as JTPA) to ensure that welfare recipients, at-risk youth, displaced workers, public housing tenants, homeless and low-income individuals and low-income noncustodial parents will be trained and placed in the newly created jobs. The applicant provides written agreements from the local AFDC/TANF or other employment, education and training office, and child support enforcement agency indicating what actions will be taken to integrate/coordinate services that relate directly to the project for which funds are being requested. (0–2 points.)

Specifically, the agreements should include: (1) the goals and objectives that the applicant and (a) the AFDC/TANF or other employment, education and training office and/or (b) child support enforcement agency expect to achieve through their collaboration; (2) the specific activities/actions that will be taken to integrate/coordinate services on an on-going basis; (3) the target population that this collaboration will serve; (4) the mechanism(s) to be used in integrating/ coordinating activities; (5) how those activities will be significant in relation to the goals and objectives to be achieved through the collaboration; and (6) how those activities will be significant in relation to their impact on the success of the OCS-funded project. (0–2 points.)

The applicant should also provide documentation that illustrates the organizational experience related to the employment education and training program (refer to Criterion II for guidelines). (0–1 points.)

(f) *Criterion VI: Budget Appropriateness and Reasonableness (Maximum: 5 points.)*

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. (0–2 points.)

The application includes a detailed budget break-down for each of the budget categories in the SF-424A. The applicant presents a reasonable administrative cost. (0–2 points.)

The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0–1 point.)

2. Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.3

(a) *Criterion I: Analysis of Need (Maximum: 15 points.)*

The application documents that there are clearly identified needs in a low-income community not being effectively addressed. (0–10 points.)

Most recent available statistics and other information are provided in support of its contention. (0–5 points)

(b) *Criterion II: Organizational Capability and Capacity (Maximum: 20 Points)*

(i) *Organizational experience in program area (sub-rating: 5 Points).*

Each applicant must briefly show why their organization can successfully implement the project for which they are requesting funds. (0–3 points)

If an applicant has a history of prior achievements in economic development within the past three (3) years, it should address the relevance and effectiveness of those projects undertaken, especially their cost effectiveness and the relevance and effectiveness of any services and the permanent benefits provided to the targeted population. (0–2 points)

(ii) *Management capacity (sub-rating: 5 points).*

Applicants must fully detail their ability to implement sound and effective management practices and if they have been recipients of other Federal or other governmental grants, they must also detail that they have consistently complied with financial and program progress reporting and audit requirements. (0–3 points)

Applicants should submit any available documentation on their

management practices and progress reporting procedures along with a statement by a Certified or Licensed Public Accountant as to the sufficiency of the applicant's financial management system to protect adequately any Federal funds awarded under the application submitted. (0–2 points)

Note: The documentation of the applicant's management practices, etc., and statement from the Accountant on the financial management system must address the applicant organization's own internal system rather than an external system of an affiliate, partner or management support organization, etc.

(iii) *Staffing (sub-rating: 5 points).*

The application must fully describe (e.g., résumés) the experience and skills of key staff showing that they are not only well qualified but that their professional capabilities are relevant to the successful implementation of the project.

(iv) *Staffing responsibilities (sub-rating: 5 points).*

The application must describe how the assigned responsibilities of the staff are appropriate to the tasks identified for the project.

(c) *Criterion III: Project Design, Implementation and Evaluation (Maximum: 30 Points)*

(i) *Project implementation component (sub-rating: 25 points.)*

The work plan must address a clearly identified need in the low-income community described in Criterion I. The plan must include a methodology to evaluate the feasibility of potential projects that conform to the type projects and activities allowable under Sub-priority areas 1.1, 1.2, and 1.4. (0–10 points.)

It must set forth realistic quarterly time schedules of work tasks by which the objectives (including the development of a business plan and mobilization of resources) will be accomplished. Because quarterly time schedules are used by OCS as a key instrument to monitor progress, failure to include these time targets will seriously reduce an applicant's point score in this criterion. (0–10 points.)

It must define critical issues or potential problems that might impact negatively on the project and it must indicate how the project objectives will be attained notwithstanding any such potential problems. (0–5 points)

(ii) *Evaluation component (sub-rating: 5 points).*

All proposals should include a self-evaluation component. The evaluation data collection and analysis procedures should be specifically oriented to assess

the degree to which the stated goals and objectives are achieved. (0–3 points)

Qualitative and quantitative measures reflective of the scheduling and task delineation in (1) above should be used to the maximum extent possible. This component should indicate the ways in which the potential grantee would integrate qualitative and quantitative measures of accomplishment and specific data into its program progress reports that are required by OCS from all pre-development grantees. (0–2 points)

(d) *Criterion IV: Significant and Beneficial Impact (Maximum: 25 Points)*

Funding under this Sub-priority area is targeted to result in a Business Plan for a proposed project. The proposed project around which the Business Plan is to be developed with the use of OCS grant funds must be targeted into low-income communities, and/or designated empowerment zones or enterprise communities with the goals of increasing the economic conditions and social self-sufficiency of residents. Also the project proposes to produce permanent and measurable results that will reduce the incidence of poverty and AFDC/TANF recipients in the low-income area targeted. (0–20 points)

Note: This Sub-priority area permits applicants to conduct several feasibility studies related to various potential projects. However on completion of the studies, one proposed project must be selected and a business plan prepared for the selected project. The activity targets mobilization of non-discretionary program dollars from private sector individuals, public resources, corporations, and foundations including the utilization of Historically Black Colleges and Universities, if the proposed project is implemented. (0–5 points)

(e) *Criterion V: Budget Appropriateness and Reasonableness (Maximum: 10 points)*

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0–5 points)

The application includes a narrative detailed budget break-down for each of the budget categories in the SF 424-A. The applicant presents a reasonable administrative cost. (0–5 points)

3. Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.5

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

(i) *Organizational Experience in Program Area (sub-rating: 0–10 points)*

Applicant has documented the capability to provide leadership in solving long-term and immediate problems locally and/or nationally in such areas as business development, commercial development, organizational and staff development, board training, and micro-entrepreneurship development. (0–2 points)

Applicant must document a capability (including access to a network of skilled individuals and/or organizations) in two or more of the following areas: Business Management, including strategic planning and fiscal management; Finance, including development of financial packages and provision of financial/accounting services; and Regulatory Compliance, including assistance with zoning and permit compliance. (0–2 points)

Further, the applicant has the demonstrated ability to mobilize dollars from sources such as the private sector (corporations, banks, foundations, etc.) and the public sector, including state and local governments. (0–2 points)

Applicant also demonstrates that it has a sound organizational structure and proven organizational capability as well as an ability to develop and maintain a stable program in terms of business, physical or community development activities that have provided permanent jobs, services, business development opportunities, and other benefits to poverty community residents. (0–2 points)

Applicants must indicate why they feel that their successful experiences would be of assistance to existing grantees which are experiencing difficulties in implementing their projects. (0–2 points)

(ii) *Staff Skills, Resources and Responsibilities (sub-rating: 0–10 points)*

The application describes in brief resume form the experience and skills of the project director who is not only well qualified, but who has professional capabilities relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. (0–5 points)

The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. (0–3 points)

The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient

time of senior staff will be budgeted to assure timely implementation and cost effective management of the project. (0–2 points)

(b) *Criterion II: Work Program (Maximum: 30 points)*

Based upon the applicant's knowledge and experience related to OCS's Discretionary Grants Program (particularly community economic development), the application should demonstrate in some specificity a thorough understanding of the problems a grantee may encounter in implementing a successful project. (0–15 points)

The application should include a strategy for assessing the specific nature of the problems, outlining a course of action and identifying the resources required to resolve the problems. (0–15 points)

(c) *Criterion III: Significant and Beneficial Impact (Maximum: 30 points)*

Project funds under this sub-priority area must be used for the purposes of transferring expertise directly, or by a contract with a third party, to other OCS funded grantees. Applicants must document how the success or failure of collaboration with these grantees will be documented. (0–15 points)

Applicants must demonstrate an ability to disseminate results on the kinds of programmatic and administrative expertise transfer efforts in which they participated and successful strategies that they may have developed to share expertise with grantees during the grant period. (0–10 points)

Applicants must also state whether the results of the project will be included in a handbook, a progress paper, an evaluation report or a general manual and why the particular methodology chosen would be most effective. (0–5 points)

(d) *Criterion IV: Public-Private Partnerships (15 Points)*

The applicant demonstrates that it has worked with local, regional, state or national offices to ensure that AFDC/TANF recipients, at-risk youth, displaced workers, public housing tenants, low-income noncustodial parents, homeless and otherwise low-income individuals have been trained and placed in newly created jobs. (0–10 points)

Applicant should demonstrate how it will design a comprehensive strategy which makes use of other available resources to resolve typical and recurrent grantee problems. (0–5 points)

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

Applicant documents that the funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The application includes a narrative detailed budget break-down for each of the appropriate budget categories in the SF-424A. (0-3 points)

The estimated cost to the government of the project also is reasonable in relation to the anticipated results. (0-2 points)

4. Criteria for Review and Evaluation of Applications Submitted Under Sub-Priority Area 1.6

(a) Criterion I: Need for Assistance (Maximum: 10 points)

The application documents that the project addresses a vital nationwide need related to the purposes of Priority Area 1.0 and provides data and information in support of its contention.

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

(i) Organizational Experience

Applicant has documented the capability to provide leadership in solving long-term and immediate problems locally and/or nationally in such areas as business development, commercial development, organizational and staff development, board training, and micro-entrepreneurship development. Applicant must document a capability (including access to a network of skilled individuals and/or organizations) in two or more of the following areas: Business Management, including strategic planning and fiscal management; Finance, including development of financial packages and provision of financial/accounting services; and Regulatory Compliance, including assistance with zoning and permit compliance. (0-10 points)

(ii) Staff Skills

The applicant's proposed project director and primary staff are well qualified and their professional experiences are relevant to the successful implementation of the proposed project. (0-10 points)

(c) Criterion III: Work Plan (Maximum 35 points)

Based upon the applicant's knowledge and experience related to OCS's Discretionary Grants Program (particularly community economic development), the applicant must develop and submit a detailed and specific work plan that is both sound and feasible. Specifically, the work plan should include the following elements:

(i) Demonstrate that all activities are comprehensive and nationwide in scope, and adequately described and appropriately related to the goals of the program. (0-10 points)

(ii) Demonstrate in some specificity a thorough understanding of the kinds of training and technical assistance that can be provided to the network of Community Development Corporations. (0-10 points)

(iii) Delineate the tasks and sub-tasks involved in the areas necessary to carry out the responsibilities to include training, technical assistance, research, outreach, seminars, etc. (0-5 points)

(iv) State the intermediate and end products to be developed by task and sub-task. (0-5 points)

(v) Provide realistic time frames and chronology of key activities for the goals and objectives. (0-5 points)

(d) Criterion IV: Significant and Beneficial Impact (Maximum: 25 points)

Project funds under this sub-priority area must be used for the purpose of providing training and technical assistance on a national basis to the network of Community Development Corporations.

Applicant must document how the success or failure of the assistance provided will be documented.

(i) Application should adequately describe how the project will assure long-term program and management improvements for Community Development Corporations; (0-10 points)

(ii) The project will impact on a significant number of Community Development Corporations; (0-10 points)

(iii) Applicant should document how the project will leverage or mobilize significant other non-federal resources for the direct benefit of the project; (0-5 points)

(e) Criterion V: Budget Reasonableness (Maximum 10 points)

(i) The resources requested are reasonable and adequate to accomplish the project. (0-5 points)

(ii) Total costs are reasonable and consistent with anticipated results. (0-5 points)

5. Criteria for Review and Evaluation of all Applications Under Priority Area 2.1

(a) Criterion I: Analysis of Need (Maximum: 5 points)

The application documents that the project addresses a vital need in a distressed community and provides statistics and other data and information in support of its contention.

(b) Criterion II: Organizational Experience in Program Area and Staff Responsibilities (Maximum: 15 points)

(i) Organizational Experience in Program Area (sub-rating: 0-5 points)

Documentation provided indicates that projects previously undertaken have been relevant and effective and have provided permanent benefits to the low-income population.

Organizations which propose providing training and technical assistance have detailed competence in the specific program priority area and as a deliverer with expertise in the fields of training and technical assistance. If applicable, information provided by these applicants also addresses related achievements and competence of each cooperating or sponsoring organization.

(ii) Staff Skills, Resources and Responsibilities (sub-rating 0-10 points)

The application describes in brief resume form the experience and skills of the project director who is not only well qualified, but his/her professional capabilities are relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful implementation of the project. The applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan. The assigned responsibilities of the staff are appropriate to the tasks identified for the project and sufficient time of senior staff will be budgeted to assure timely implementation and cost effective management of the project.

(c) Criterion III: Project Implementation (Maximum: 25 points)

The Business Plan is both sound and feasible. The project is responsive to the needs identified in the Analysis of Need. It sets forth realistic quarterly time targets by which the various tasks will be completed. Critical issues or potential problems that might impact negatively on the project are defined and the project objectives can be reasonably attained despite such potential problems.

(d) Criterion IV: Significant and Beneficial Impact (Maximum: 30 points)

The application contains a full and accurate description of the proposed use of the requested financial assistance. The proposed project will produce permanent and measurable results that will reduce the incidence of poverty in the areas targeted and significantly enhance the self sufficiency of program participants. Results are quantifiable in terms of program area expectations, e.g., number of units of housing rehabilitated, agricultural and non-agricultural job placements, etc. The

OCS grant funds, in combination with private and/or other public resources, are targeted into low-income and/or distressed communities and/or designated empowerment zones and enterprise communities.

(e) *Criterion V: Public-Private Partnerships (Maximum: 20 points)*

The application documents that the applicant will mobilize from public and/or private sources cash and/or in-kind contributions valued at an amount equal to the OCS funds requested. Applicants documenting that the value of such contributions will be at least equal to the OCS funds requested will receive the maximum number of points for this Criterion. Lesser contributions will be given consideration based upon the value documented.

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

Funds requested are commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The application includes a narrative detailed budget break-down for each of the budget categories in the SF-424A. The applicant presents a reasonable administrative cost. The estimated cost to the government of the project also is reasonable in relation to the anticipated results.

2. Community Food and Nutrition (CFN) (CFDA No. 93.571) Deadline Date: March 26, 1999

(A) *Program Contact Person:* Thornell Page (202) 401-5333 or Catherine Rivers (202) 401-5252.

(B) *Date of Application Kit:* January 25, 1999.

(C) *Application Deadline:*

Applications must be *POSTMARKED* by March 26, 1999. Detailed application submission instructions are included in the Application Kit.

(D) *Legislative Authority:* Section 681 of the Community Services Block Grant Act, as amended; and the Coats Human Services Reauthorization Act of 1998 (Pub. L. 105-285).

(E) *Eligible Activities:* The OCS is authorized to make funds available for the purpose of coordinating existing private and public food assistance resources, whenever such coordination is determined to be inadequate, to better serve low income populations; assisting low income communities to identify potential sponsors of child nutrition programs and to initiate new programs in underserved or unserved areas; and developing innovative approaches to meet the nutrition needs of low income people. Funds are provided to improve the health and nutrition status of low income persons through improved

access to healthy nutritious foods or by other means.

(F) *Type of Awards:* Grants.

(G) *Project Period and Budget Period:* For most projects, OCS will grant funds for 1 year. However, in rare instances, depending on the characteristics of any individual project and on the justification presented by the applicant in its application, a grant may be made for up to 17 months.

(H) *Eligible Applicants and Availability of Funds:* Eligible applicants are States and public and private non-profit agencies/organizations with a demonstrated ability to successfully develop and implement such programs and activities.

Funds Available: \$2,000,000. Approximately 33 grants will be awarded competitively.

(I) *Review Criteria for Community Food and Nutrition Applications (Criteria Listed Below):*

Criteria for Review and Evaluation of Community Food and Nutrition Applications

Criterion I: Analysis of Needs/Priorities (Maximum: 10 Points)

(a) Target area and population to be served are adequately described. (0-4 Points) In addressing the above Criterion, the applicant should include a description of the target area and population to be served including specific details on any minority population(s) to be served.

(b) Nature and extent of problem(s) and/or need(s) to be addressed are adequately described and documented. (0-6 Points) In addressing the above Criterion, the applicant should include a discussion of the nature and extent of the problem(s) and/or need(s), including specific information on minority populations(s).

Criterion II: Adequacy of Work Program (Maximum: 25 Points)

(a) Realistic quarterly time targets are set forth by which the various work tasks will be completed. (0-10 Points)

(b) Activities are adequately described and appear reasonably likely to achieve results which will have a desired impact on the identified problems and/or needs. (0-15 Points) In addressing the above Criterion, the applicant should address the basic criteria and legislatively-mandated activities and should include:

1. Project priorities and rationale for selecting them which relate to the specific nutritional problem(s) and/or need(s) of the target population which were identified under Criterion I;

2. Goals and objectives which speak to the(se) problem(s) and/or need(s); and

3. Project activities which if successfully carried out can be reasonably expected to result in the achievement of these goals and objectives.

Criterion III: Significant and Beneficial Impact (Maximum: 30 Points)

(a) Applicant proposes to significantly improve or increase nutrition services to low-income people and such improvements or increases are quantified. (0-15 Points)

(b) Project incorporates promotional health and social services activities for low-income people, along with nutritional services. (0-5 Points)

(c) Project will significantly leverage or mobilize other community resources and such resources are detailed and quantified. (0-5 Points)

(d) Project addresses problem(s) which can be resolved by one-time OCS funding or demonstrates that non-Federal funding is available to continue the project without Federal support. (0-5 Points)

In addressing the above Criterion, the applicant *must include* quantitative data for Items (a), (b), and (c), and discuss how the beneficial impact relates to the relevant legislatively-mandated program activities and the problems and/or needs described under Criterion I.

Criterion IV: Coordination/Services Integration (Maximum: 15 Points)

(a) Project shows evidence of coordinated community-based planning in its development, including strategies in the Work Program to carry on activities in collaboration with other locally funded Federal programs (such as DHHS health and social services and USDA Food and Consumer Service programs) in ways that will eliminate duplication and will, for example: 1) unite funding streams at the local level to increase program outreach and effectiveness, 2) facilitate access to other needed social services by coordinating and simplifying intake and eligibility certification processes for clients, or 3) bring project participants into direct interaction with holistic family development resources in the community where needed. (0-10 Points)

(b) *Community Empowerment Consideration*—Special consideration will be given to applicants who are located in areas which are characterized by poverty and other indicators of socioeconomic distress such as a poverty rate of at least 20 percent, designation as an Empowerment Zone or Enterprise Community, high levels of unemployment, and high levels of incidences of violence, gang activity, crime, or drug use. Applicants should document that they were involved in the preparation and planned

implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner. (0-5 Points)

If the applicant is receiving funds from the State for community food and nutrition activities, the applicant should address how the funds are being utilized, and how they will be coordinated with the proposed project to maximize the effectiveness of both. If State funds are being used in the project for which OCS funds are being requested, their usage should be specifically described.

Criterion V: Organization Experience in Program Area and Staff Responsibilities (Maximum: 15 Points)

(a) Organizational experiences in program area (0-5 Points)
Documentation provided indicates that projects previously undertaken have been relevant and effective and have provided permanent benefits to the low-income population. Organizations which propose providing training and technical assistance have detailed competence in the program area and as a deliverer with expertise in the fields of training and technical assistance. If applicable, information provided by these applicants also addresses related achievements and competence of each cooperating or sponsoring organization.

(b) Management History (0-5 Points)
Applicants must demonstrate their ability to implement sound and effective management practices and if they have been recipients of other Federal or other governmental grants, they must also document that they have consistently complied with financial and program progress reporting and audit requirements. Such documentation may be in the form of references to any available audit or progress reports and should be accompanied by a statement by a Certified or Licensed Public Accountant as to the sufficiency of the applicant's financial management system to protect adequately any Federal funds awarded under the application submitted.

(c) Staffing Skills, Resources and Responsibilities (0-5 Points)

The application adequately describes the experience and skills of the proposed project director showing that the individual is not only well qualified, but that his/her professional capabilities are relevant to the successful implementation of the project. If the key staff person has not yet been identified, the application contains a comprehensive position description which indicates that the responsibilities to be assigned to the project director are relevant to the successful

implementation of the project. The application must indicate that the applicant has adequate facilities and resources (i.e. space and equipment) to successfully carry out the work plan.

In addressing the above Criterion, the applicant *must clearly show* that sufficient time of the Project Director and other senior staff will be budgeted to assure timely implementation and oversight of the project and that the assigned responsibilities of the staff are appropriate to the tasks identified for the project.

Criterion VI: Adequacy of Budget (Maximum: 5 Points)

The budget is adequate and administrative costs are appropriate in relation to the services proposed. (0-5 Points)

3. Job Opportunities for Low Income Individuals (JOLI) (CFDA No. 93-593)
Deadline Date: April 22, 1999

(A) *Program Contact Person:* Thornell Page (202) 401-5333 or Nolan Lewis (202) 401-5282.

(B) *Date of Application Kit:* January 22, 1999.

(C) *Application Deadline:*
Applications must be **POSTMARKED** by April 22, 1999. Detailed application submission instructions are included in the Application Kit.

(D) *Legislative Authority:* Section 505 of the Family Support Act of 1988, Public Law 100-485, as amended, authorizes the Secretary of DHHS to enter into agreements with non-profit organizations (including community development corporations) for the purpose of conducting projects designed to create employment and business opportunities for certain low income individuals. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Public Law 104-193, reauthorized Section 505 of the Family Support Act of 1988 with certain amendments effective July 1, 1997.

(E) *Eligible Activities:* Projects funded under the JOLI Program are for the creation of new jobs and employment opportunities, through micro-business/self-employment, the start-up of a new business, or the expansion of an existing business. Project activities may include training assistance, and support of participants to enable them successfully to fill such jobs; but proposed projects for the training and placement of low income individuals in already existing jobs or jobs expected to be available independent of any job creation activity of the proposed project, will not be considered for funding.

(F) *Type of Awards:* Grants.

(G) *Project Periods and Budget Periods:* Refer to Application Kit for details.

(H) *Eligible Applicants and Availability of Funds:* Applicants eligible to apply for grants under the JOLI program must be not-for-profit organizations exempt from taxation under Section 501(c)(3) or (4) of the Internal Revenue Code. Applicants are encouraged to mobilize resources.

Funds Available: \$5,500,000.
Approximately 5 to 10 grants will be awarded. JOLI grant awards are approved for up to 3 year project periods and are funded for up to a maximum of \$500,000 for the full project period.

(I) *Review Criteria for Job Opportunities for Low Income Individuals Applications (Criteria Listed Below)*

Criteria for Review of JOLI Applications

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

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

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

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

the following outline of required project elements. They should, furthermore, build their project concept, plans, and application description upon the guidelines set forth for each of the project elements.

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

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

- (1) incorporate each of the Elements and Sub-Elements below into their proposals, so as to:
- (2) describe convincingly a project that will develop new employment or business opportunities for TANF recipients and other low income individuals that can lead to a transition from dependency to economic self-sufficiency;
- (3) propose a realistic budget and time frame for the project that will support the successful implementation of the work plan to achieve the project's goals in a timely and cost effective manner; and
- (4) provide for the testing and evaluation of the project design, implementation, and outcomes so as to make possible replication of a successful program.

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

Sub Element I(a). Agency's Experience and Commitment in Program Area: Weight of 0-10 points

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

The application should include documentation which briefly summarizes two similar projects undertaken by the applicant agency and the extent to which the stated and achieved performance targets, including permanent benefits to low-income

populations, have been achieved. The application should note and justify the priority that this project will have within the agency, including the facilities and resources that it has available to carry it out.

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

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

Sub Element I(b). Staff Skills, Resources and Responsibilities: Weight of 0-10 points

The application must identify the two or three individuals who will have the key responsibility for managing the project, coordinating services and activities for participants and partners, and for achieving performance targets. The focus should be on the qualifications, experience, capacity and commitment to the program of the Executive Officials of the organization and the key staff persons who will administer and implement the project. The person identified as Project Director should have supervisory experience, experience in finance and business, and experience with the target population. Because this is a demonstration project within an already-established agency, OCS expects that the key staff person(s) would be identified, if not hired.

The application must also include a resume of the third party evaluator, if identified or hired; or the minimum qualifications and a position description for the third-party evaluator, who must be a person with recognized evaluation skills who is organizationally distinct from, and not under the control of, the applicant. (See Element IV, Project Evaluation, below, for fuller discussion of Evaluator qualifications.)

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

It is suggested that applicants use no more than 3 pages for this Sub-Element.

Element II. Project Theory, Design, and Plan

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

Applicants are urged to design and present their project in terms of a conceptual cause-effect framework. In the following paragraphs, a framework

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

Sub-Element II(a). Description of Target Population, Analysis of Need, and Project Assumptions: (Weight of 0-10 points)

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

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

In this sub-element of the proposal, the applicant 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 child care, 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 jobs (high unemployment rate); lack of public transportation; lack of markets; unavailability of financing, insurance or bonding; inadequate social

services (employment service, child care, job training); high incidence of crime; inadequate health care; or environmental hazards (such as toxic dumpsites or leaking underground tanks). Applicants should be sure not to overlook the personal and family services and support that might be needed by project participants after they are on the job which will enhance job retention and advancement. If the jobs to be created by the proposed project are themselves designed to fill one or more of the needs, or remove one or more of the barriers so identified, this fact should be highlighted in the discussion (e.g. jobs in child care, health care, or transportation).

It is suggested that applicants use no more than 4 pages for this Sub-Element.

Sub-Element II(b). Project Strategy and Design: Interventions, Outcomes, and Goals: Weight of 0-10 points

The work plan must describe the proposed project activities, or interventions, and explain how they are expected to result in outcomes which will meet the needs of the program participants and assist them to overcome the identified personal and systemic barriers to employment, job retention and self-sufficiency. In other words, what will the project staff do with the resources provided to the project and how will what they do (interventions) assist in the creation and sustaining of employment and business opportunities for program participants in the face of the needs and problems that have been identified.

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

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

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

bookkeeping and accounting might be expected to result in project participants making an informed decision about whether they were suited for entrepreneurship.

At the next level are the intermediate outcomes which result from these immediate changes. Often an intermediate project outcome is the result of several immediate changes resulting from a number of related interventions such as training and counseling. Intermediate outcomes should be expressed in measurable changes in knowledge, attitudes, behavior, or status/condition. In the above examples, the immediate changes achieved by the job readiness program, coupled with technical assistance to an employer in the expansion of a business could be expected to lead to intermediate outcomes of creation of new job openings and the participant applying for a job with the company. The acquisition of business skills, coupled with the establishment of a loan fund, could be expected to result in the actual decision to go into a particular business venture or seek the alternative track of pursuing job readiness and training.

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

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

It is suggested that applicants use no more than 4 pages for this Sub-Element.

Sub-Element II(c). Work Plan: Weight of 0-10 points.

Once the project strategy and design framework are established, the applicant should present the highlights of a work plan for the project. The plan should explicitly tie into the project design framework and should be feasible, i.e., capable of being accomplished with the resources, staff, and partners available. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Critical issues or potential problems that might affect the achievement of project objectives should be explicitly addressed, with an explanation of how they would be overcome, and how the objectives will be achieved notwithstanding any such problems. The plan should be presented in such a way that it can be correlated with the budget narrative included earlier in the application.

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

It is suggested that applicants use no more than 3 pages for this Sub-Element.

Element III. Significant and Beneficial Impact

Sub-Element III(a). Quality of Jobs/ Business Opportunities: 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 welfare recipients from welfare dependency toward economic self-sufficiency. Results are expected to be quantifiable in terms of: the creation of permanent, full-time jobs; the development of business opportunities; the expansion of existing businesses; or the creation of non-traditional employment opportunities. In developing business opportunities and self-employment for TANF recipients and low-income individuals, the applicant proposes, at a minimum, to provide basic business planning and management concepts, and assistance in preparing a business plan and loan package.

The application should document that:

- the business opportunities to be developed for eligible participants will contribute significantly to their progress toward self-sufficiency; and/or
- jobs to be created for eligible participants will contribute significantly to their progress toward self-sufficiency. For example, they should provide salaries that exceed the minimum wage, plus benefits such as health insurance, child care

and career development opportunities.

It is suggested that applicants use no more than 3 pages for this Sub-Element.

Sub-Element III(b). Community Empowerment Consideration: Weight of 0-3 points.

Special consideration will be given to applicants who are located in areas which are characterized by conditions of extreme poverty and other indicators of socio-economic distress such as a poverty rate of at least 20%, designation as an Empowerment Zone or Enterprise Community, high levels of violence, gang activity or drug use; and who document that in response to these conditions they have been involved in the preparation and planned implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner; and how the proposed project will support the goals of that plan.

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

Sub-Element III(c). Support for Noncustodial Parents: Weight of 0-2 points.

Applicants who have entered into partnership agreements with local Child Support Enforcement Agencies to develop and implement innovative strategies to increase the capability of low-income parents and families to fulfill their parental responsibilities; and specifically, to this end, to provide for referrals to the funded projects of identified income eligible families and noncustodial parents economically unable to provide child support, will also receive special consideration.

To receive the full credit of two points, applicants should include as an appendix to the application, a signed letter of agreement with the local CSE Agency for referral of eligible noncustodial parents to the proposed project.

It is suggested that applicants use no more than 1 page for this Sub-Element.

Sub-Element III(d). Cost-per-Job: Weight of 0-5 points.

The Application should document that during the project period, the proposed project will create new, permanent jobs through business opportunities or non-traditional employment opportunities for low-income residents at a cost-per-job below \$15,000 in OCS funds. The cost per job should be calculated by dividing the total amount of grant funds requested (e.g., \$420,000) by the number of jobs to be created (e.g., 60) which would equal the cost-per-job (\$7,000). If any other calculations are used, include the methodology and rationale in this

section. In making calculations of cost-per-job, only jobs filled by low-income project participants may be counted. (See Part III, Section I of the Application Kit.) [Note: Except in those instances where independent reviewers identify extenuating circumstances related to business development activities, or high wage levels and living costs such as in Hawaii or Alaska, the maximum number of points will be given only to those applicants proposing cost-per-job created estimates of \$5,000 or less of OCS requested funds. Higher cost-per-job estimates will receive correspondingly fewer points.] It is suggested that applicants use no more than 1 page for this Sub-Element.

Element IV. Project Evaluation: Weight of 0-15 points.

Sound evaluations are essential to the JOLI Program. OCS requires applicants to include in their applications a well thought through outline of an evaluation plan for their project. The outline should explain how the applicant proposes to answer the key questions about how effectively the project is being/was implemented; whether the project activities, or interventions, achieved the expected immediate outcomes, and why or why not (the Process Evaluation); and whether and to what extent the project achieved its stated goals, and why or why not (the Outcome Evaluation). Together, the Process and Outcome Evaluations should answer the question "what did this program accomplish and why did it work/not work?"

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

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

(2) a reporting format based on the grantee's documentation of its activities (interventions) and their effectiveness, to be included in the grantee's semi-annual Program Progress Report, which will provide OCS with insights and lessons learned, as they become evident, concerning the various aspects of the Work Plan, such as recruitment, training, support, public-private partnerships, and coordination with other community resources, as they may be relevant to the proposed project;

(3) the identity and qualifications of the proposed third-party evaluator, or if not selected, the qualifications which

will be sought in choosing an evaluator, which must include successful experience in evaluating social service delivery programs, and the planning and/or evaluation of programs designed to foster self-sufficiency in low income populations; and

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

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

Finally, as noted above, the outline should provide for prompt reporting, concurrently with the semi-annual program progress reports, of lessons learned during the course of the project, so that they may be shared without waiting for the final evaluation report.

For all these reasons, it is important that each successful applicant have a third-party evaluator selected and performing at the very latest by the time the work program of the project is begun, and if possible before that time so that he or she can participate in the final design of the program, and in order to assure that data necessary for the evaluation will be collected and available. Plans for selecting an evaluator should be included in the application narrative. A third-party evaluator must have knowledge about and have experience in conducting process and outcome evaluations in the job creation field, and have a thorough understanding of the range and complexity of the problems faced by the target population.

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

It is suggested that applicants use no more than 3 pages for this Element, plus

the Resume or Position Description for the evaluator, which should be in an Appendix.

Element V. Public/Private Partnerships: Weight of 0-10 points

The proposal should briefly describe any public/private partnerships which will contribute to the implementation of the project. Where partners' contributions to the project are a vital part of the project design and work program, the narrative should describe undertakings of the partners, and a partnership agreement, specifying the roles of the partners and making a clear commitment to the fulfilling of the partnership role, must be included in an Appendix to the Proposal. The firm commitment of mobilized resources must be documented and submitted with the application in order to be given credit under this Element. The application should meet the following criteria:

—Where other resources are mobilized, the application must provide documentation that public and/or private sources of cash and/or third-party in-kind contributions will be available, in the form of letters of commitment from the organization(s)/ individual(s) from which resources will be received. Applications that can document dollar for dollar contributions equal to the OCS funds and demonstrate that the partnership agreement clearly relates to the objectives of the proposed project, will receive the maximum number of points for this criterion. Lesser contributions will be given consideration based upon the value documented.

(Note: Even though there is no matching requirement for the JOLI Program, grantees will be held accountable for any match, cash or in-kind contribution proposed or pledged as part of an approved application.) Partners involved in the proposed project should be responsible for substantive project activities and services. Applicants should note that partnership relationships are not created via service delivery contracts.

It is suggested that applicants use no more than 4 pages for this Element.

Element VI. Budget Appropriateness and Reasonableness: Weight of 0-5 points

Applicants are required to submit Federal budget forms with their proposals to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (424A). (See Part VI of the Application Kit.) Immediately following the completed Federal budget forms, (Attachments B and C) applicants must submit a Budget Narrative, or explanatory budget

information which includes a detailed budget break-down for each of the budget categories in the SF-424A. This Budget Narrative is not considered a part of the Project Narrative, and does not count as part of the thirty pages; but rather should be included in the application following the budget forms.

The duration of the proposed project and the funds requested in the budget must be commensurate with the level of effort necessary to accomplish the goals and objectives of the project. The budget narrative should briefly explain how grant funds will be expended and show the appropriateness of the Federal funds and any mobilized resources to accomplish project purposes within the proposed timeframe. The estimated cost to the government of the project should be reasonable in relation to the project's duration and to the anticipated results, and include reasonable administrative costs, if an indirect cost rate has not been negotiated with a cognizant Federal agency.

Applicants are encouraged to use job titles and not specific names in developing the application budget. However, the specific salary rates or amounts for staff positions identified must be included in the application budget.

Resources in addition to OCS grant funds are encouraged both to augment project resources and to strengthen the basis for continuing partnerships to benefit the target community. The amounts of such resources, their appropriateness to the project design, and the likelihood that they will continue beyond the project time frame will be taken into account in judging the application. As noted in Element V, above, even though there is no matching requirement for the JOLI Program, grantees will be held accountable for any match, cash or in-kind contribution proposed or pledged as part of an approved application.

Applicants should include funds in the project budget for travel by Project Directors and Chief Evaluators to attend two national evaluation workshops in Washington, D.C. *The score for this element will be based on the budget form (SF-424A) and the associated detailed budget narrative.*

4. Residential Energy Assistance Challenge (REACH) Option Program (CFDA No. 93.568) Deadline Date: May 3, 1999

(A) *Program Contact Person:* Anna Guidery (202) 401-5318 or Richard Saul (202) 401-9341

(B) *Date of Application Kit:* February 1, 1999

(C) *Application Deadline:* Applications must be **POSTMARKED** by

May 3, 1999. Detailed application submission instructions are included in the Application Kit.

(D) *Program Priority Areas:* Under Priority Area 1.0, funds will be awarded to States, District of Columbia, and Puerto Rico for REACH projects administered by non-profit Community Based Organizations, with a priority given to Community Action Agencies and other eligible entities under Section 673 of the Community Services Block Grant Act [42 U.S.C. 9902(1)]. Under Priority Area 2.0, funds will be awarded to Indian Tribes and Tribal Organizations and other Insular Areas.

(E) *Legislative Authority:* Section 2607B of the Low Income Home Energy Assistance Act, Title XXVI of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended [42 U.S.C. 8626b].

(F) *Eligible Activities:* The OCS is authorized to provide competitive grants to LIHEAP grantees that develop innovative programs, administered by community-based organizations, to reduce the energy vulnerability of LIHEAP-eligible households.

(G) *Type of Awards:* Grants.

(H) *Eligible Applicants and Availability of Funds:* Eligible applicants are States, Indian Tribes and Tribal Organizations (including Alaskan Native Villages), and Insular Areas that receive direct grants from the Department of HHS under LIHEAP which are expended for implementing a LIHEAP program. Funds are awarded to LIHEAP grantees on the basis of a competitive application process. Funds available: Approximately \$6,875,000. Up to 10 grants will be awarded competitively to States, the District of Columbia and Puerto Rico under Priority Area 1.0. Approximately 4 to 12 grants will be awarded competitively to Indian Tribes, Tribal Organizations, and other insular areas under Priority Area 2.0.

(I) *Review Criteria for REACH Plans (Criteria Listed Below):*

1. *Program Elements, Review and Assessment Criteria for REACH Plans under Priority Area 1.0 (States, District of Columbia, and Puerto Rico)*

(a) Criterion I: Organizational Experience and Capability (Maximum: 20 points)

(b) Criterion II: Project Theory, Design and Plan (Maximum: 30 points)

(c) Criterion III: Holistic Program Strategies, Mobilization of Resources, and Project Innovations (Maximum: 10 points)

(d) Criterion IV: Budget Appropriateness (Maximum: 10 points)

(e) Criterion V: Significant and Beneficial Impact (Maximum: 10 points)

(f) Criterion VI: Community Empowerment Consideration (Maximum: 5 points)

(g) Criterion VII: Management and Organization of Project (Maximum: 5 points)

(h) Criterion VIII: Project Evaluation (Maximum: 10 points)

2. Program Elements, Review and Assessment Criteria for REACH Plans under Priority Area 2.0 (Tribes and Insular Areas other than Puerto Rico)

(a) Criterion I: Organizational Experience and Capability (Maximum: 10 points)

(b) Criterion II: Project Theory, Design and Plan (Maximum: 50 points)

(c) Criterion III: Management and Organization of Project (Maximum: 10 points)

(d) Criterion IV: Budget Appropriateness (Maximum: 10 points)

(e) Criterion V: Significant and Beneficial Impact (Maximum: 10 points)

(f) Criterion VI: Project Evaluation (Maximum: 10 points)

Additional Requirements: Applicants for grants must also meet the following requirements:

A. Paperwork Reduction Act of 1995 #0970-0062

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 Combined Program Announcement does not contain information collection requirements beyond those approved for ACF grant announcements/applications under OMB Control Number 0970-0062.

B. Intergovernmental Review

With the exception of the REACH program, the programs discussed in this Combined Program Announcement are 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.

As of September 1998, a number of jurisdictions have elected not to participate in the Executive Order process. Applicants from these jurisdictions or for projects administered by federally recognized Indian Tribes need take no action in regard to E.O. 12372. A list of these non-participating jurisdictions can be found in each Application Kit.

Although the non-participating jurisdictions no longer participate in the process, entities which have met the eligibility requirements of the program are still eligible to apply for a grant even if a State, Territory, Commonwealth, etc. does not have a SPOC. 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 new or competing continuation awards. SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations.

Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which may trigger the "accommodate or explain" rule. When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit Resolution, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447.

Dated: December 18, 1998.

Donald Sykes,

Director Office of Community Services.

[FR Doc. 98-34279 Filed 12-24-98; 8:45 am]

BILLING CODE 4184-01-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Food and Drug Administration

[Docket No. 98F-1201]

GEO Specialty Chemicals; Filing of Food Additive Petition

AGENCY: Food and Drug Administration, HHS.

ACTION: Notice.

SUMMARY: The Food and Drug Administration (FDA) is announcing that GEO Specialty Chemicals has filed a petition proposing that the food additive regulations be amended to provide for the safe use of the salt of dimethylolpropionic acid and triisopropanolamine as a pigment dispersant.

FOR FURTHER INFORMATION CONTACT: Ellen M. Waldron, Center for Food Safety and Applied Nutrition (HFS-215), Food and Drug Administration, 200 C St. SW., Washington, DC 20204, 202-418-3089.

SUPPLEMENTARY INFORMATION: Under the Federal Food, Drug, and Cosmetic Act (sec. 409(b)(5) (21 U.S.C. 348(b)(5))), notice is given that a food additive petition (FAP 9B4636) has been filed by GEO Specialty Chemicals, c/o Keller and Heckman LLP, 1001 G St. NW., suite 500 West, Washington, DC 20001. The petition proposes to amend the food additive regulations in § 178.3725 *Pigment dispersants* (21 CFR 178.3725) to provide for the safe use of the salt of dimethylolpropionic acid and triisopropanolamine as a dispersant for pigments intended for food-contact applications.

The agency has determined under 21 CFR 25.32(i) that this action is of a type that does not individually or cumulatively have a significant effect on the human environment. Therefore, neither an environmental assessment nor an environmental impact statement is required.

Dated: December 7, 1998.

Laura M. Tarantino,

Acting Director, Office of Premarket Approval, Center for Food Safety and Applied Nutrition.

[FR Doc. 98-34170 Filed 12-24-98; 8:45 am]

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