

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS 2001-08]

#### Fiscal Year 2001 Training, Technical Assistance and Capacity-Building Program; Availability of Funds and Request for Applications

**AGENCY:** Office of Community Services (OCS), Administration for Children and Families (ACF), Department of Health and Human Services (DHHS).

**ACTION:** Request for Applications under the Office of Community Services' Training, Technical Assistance and Capacity-Building Program.

**SUMMARY:** The Office of Community Services announces that competing applications will be accepted for new grants pursuant to the Secretary's authority under section 674(b) of the Community Services Block Grant (CSBG) Act, as amended, by the Community Opportunities, Accountability, and Training, and Educational Services (Coats) Human Services Reauthorization Act of 1998, (Pub.L. 105-285). This program announcement consists of seven parts. Part A provides information on the legislative authority and defines terms used in the program announcement. Part B describes the purposes of the program, the priority areas that will be considered for funding, and which organizations are eligible to apply in each priority area. Part C provides details on application prerequisites, anticipated amounts of funds available in each priority area, estimated number of grants to be awarded, and other grant-related information. Part D provides information on application procedures including the availability of forms, where to submit an application, criteria for initial screening of applications, and project evaluation criteria. Part E provides guidance on the content of an application package. Part F provides instructions for completing an application. Part G details post-award requirements.

**DATES:** Closing Date: The closing date for submission of applications is August 16, 2001. Mailed applications shall be considered as meeting the announced deadline if they are received on or before deadline date or are postmarked on or before the deadline date. Applications received after the closing date will be classified as late and not considered for funding. Applications that are handcarried will be classified as

late if they are received after 4:30 p.m., EST, on the deadline date. Applicants are cautioned to request a legibly dated U.S. Postal Service postmark or to obtain a legibly dated receipt from a commercial carrier or U. S. Postal Service. Private metered postmarks shall not be accepted as proof of timely mailing. Detailed application submission instructions, including addresses where applications must be sent are found in Part D of this program announcement.

#### FOR FURTHER INFORMATION CONTACT:

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Additional copies of this program announcement can be obtained by calling (202) 401-9343.

(The Catalog of Federal Domestic Assistance number is "93.570." This Program announcement title is "Training, Technical Assistance, and Capacity-Building Program.")

#### Part A—Preamble

##### 1. Legislative Authority

Sections 674(b)(2) and 678E(b) of the Community Services Block Grant (CSBG) Act of 1981, (Pub. L. 97-35) as amended by the Coats Human Services Reauthorization Act of 1998, (Pub. L. 105-285) authorizes the Secretary of Health and Human Services to utilize a percentage of appropriated funds for: training, technical assistance, planning, evaluation, performance measurement, monitoring, to assist States in carrying out corrective actions and to correct programmatic deficiencies of eligible entities, and for reporting and data collection activities related to programs or projects carried out under the CSBG Act. The Secretary may carry out these activities through grants, contracts, or cooperative agreements. To address program quality in financial management practices, management information and reporting systems, and measurement of program results and to ensure responsiveness to identified local needs, the Secretary is required to distribute funds directly to eligible entities, or statewide or local organizations or associations with demonstrated expertise in providing training to individuals and organizations on methods of effectively addressing the needs of low-income families and communities. The

Secretary may carry out the remaining activities through appropriate entities.

The process for determining the technical assistance, training and capacity-building activities to be carried out must (a) ensure that the needs of eligible entities and programs relating to improving program quality, including financial management practices, are addressed to the maximum extent feasible; and (b) incorporate mechanisms to ensure responsiveness to local needs, including an on-going procedure for obtaining input from State and national networks of eligible entities. Thus, the CSBG Monitoring and Assessment Task Force (MATF) continues to focus on implementation of the Results-Oriented Management and Accountability (ROMA) system to address the challenges and unmet needs of States and Community Action Agencies and to increase program quality and management within the Community Services Network. The Task Force has taken a comprehensive approach to monitoring, including establishing national goals and outcome measures, and established target dates for nation-wide implementation; reviewing data needs relevant to these outcome measures; and assessing technical assistance and training provided toward capacity building within the Community Services Network.

##### 2. Definitions of Terms

For purposes of the FY 2001 CSBG Training, Technical Assistance and Capacity-Building Program, the following definitions apply:

*At-Risk Agencies* refers to CSBG eligible entities in crises. The problem(s) to be addressed must be of a complex or pervasive nature that cannot be adequately addressed through existing local or State resources.

*Capacity-building* refers to activities that assist Community Action Agencies (CAAs) and other eligible entities to improve or enhance their overall or specific capability to plan, deliver, manage and evaluate programs efficiently and effectively to produce intended results for low-income individuals. This may include upgrading internal financial management or computer systems, establishing new external linkages with other organizations, improving board functioning, adding or refining a program component or replicating techniques or programs piloted in another local community, or making other cost effective improvements.

*Community* in relationship to broad representation refers to any group of individuals who share common

distinguishing characteristics including residency, for example, the "low-income" community, or the "religious" community or the "professional" community. The individual members of these "communities" may or may not reside in a specific neighborhood, county or school district but the local service provider may be implementing programs and strategies that will have a measurable affect on them. Community in this context is viewed within the framework of both community conditions and systems, i.e., (1) public policies, formal written and unstated norms adhered to by the general population; (2) service and support systems, economic opportunity in the labor market and capital stakeholders; (3) civic participation; and (4) an equity as it relates to the economic and social distribution of power.

*Community Services Network (CSN)* refers to the various organizations involved in planning and implementing programs funded through the Community Services Block Grant or providing training, technical assistance or support to them. The network includes local Community Action Agencies and other eligible entities; State CSBG offices and their national association; CAA State, regional and national associations; and related organizations which collaborate and participate with Community Action Agencies and other eligible entities in their efforts on behalf of low-income people.

*Cooperative Agreement* is an award instrument of financial assistance where "substantial involvement" is anticipated between the awarding agency and the recipient during the performance of the contemplated project or activity. "Substantial involvement" means that the recipient can expect Federal programmatic collaboration or participation in managing the award.

*Eligible entity* means any organization that was officially designated as a Community Action Agency (CAA) or a community action program under section 673(1) of the Community Services Block Grant Act, as amended by the Human Services Amendments of 1994 (Pub. L. 103-252), and meets all the requirements under Sections 673(1)(A)(I), and 676A of the CSBG Act, as amended by the Coats Human Services Reauthorization Act of 1998. All eligible entities are current recipients of Community Services Block Grant funds, including migrant and seasonal farmworker organizations that received CSBG funding in the previous fiscal year. In cases where eligible entity status is unclear, a final determination will be made by OCS/ACF.

*Hub* is a Department of Health and Human Services designation for multiple regional locations.

*Local service providers* are local public or private non-profit agencies that receive Community Services Block Grant funds from States to provide services to, or undertake activities on behalf of, low-income people.

*Nationwide* refers to the scope of the technical assistance, training, data collection, or other capacity-building projects to be undertaken with grant funds. Nationwide projects must provide for the implementation of technical assistance, training or data collection for all or a significant number of States, and the local service providers who administer CSBG funds.

*Outcome Measures* are indicators that focus on the direct results one wants to have on customers.

*Performance Measurement* is a tool used to objectively assess how a program is accomplishing its mission through the delivery of products, services, and activities.

*Program technology exchange* refers to the process of sharing expert technical and programmatic information, models, strategies and approaches among the various partners in the Community Services Network. This may be done through written case studies, guides, seminars, technical assistance, and other mechanisms.

*Regional Networks* refers to CAA State Associations within a region.

*Results-Oriented Management and Accountability (ROMA) System: ROMA* is a system, which provides a framework for focusing on results for local agencies funded by the Community Services Block Grant Program. It involves setting goals and strategies for developing plans and techniques that focus on a result-oriented performance based model for management.

*State* means all of the 50 States and the District of Columbia. Except where specifically noted, for purposes of this program announcement, it also includes specified Territories.

*State CSBG Lead Agency (SCLA)* is the lead agency designated by the Governor of the State to develop the State CSBG application and to administer the CSBG Program.

*Statewide* refers to training and technical assistance activities and other capacity building activities undertaken with grant funds that will have significant impact, i.e. activities should impact at least 50 percent of the eligible entities in a State.

*Technical assistance* is an activity, generally utilizing the services of an expert (often a peer), aimed at

enhancing capacity, improving programs and systems, or solving specific problems. Such services may be provided proactively to improve systems or as an intervention to solve specific problems.

*Territories* refer to the Commonwealth of Puerto Rico, and American Samoa for the purpose of this announcement.

*Training* is an educational activity or event which is designed to impart knowledge, understanding, or increase the development of skills. Such training activities may be in the form of assembled events such as workshops, seminars, conferences or programs of self-instructional activities.

## **Part B—Purposes/Program Priority Areas**

The principal purpose of this Training, Technical Assistance and Capacity funding is to stimulate and support planning, training, technical assistance and data collection activities that strengthen the Community Services Network. New and revised techniques and tools are needed to fundamentally change the way the Network does business on a daily basis.

In addition, there are specific changes in sections 676(b)(12) and 678(E) of the CSBG Act, as amended in 1998, that mandate data collection and performance measurement systems by Fiscal Year 2001. The system developed under the leadership of OCS is called the Results-Oriented Management and Accountability system (ROMA). Technical assistance and training activities described in this program announcement are also impacted by the Government Performance and Results Act of 1993 (Pub L. 103-62). This Act requires Federal programs describe expected program "outcomes" and the Monitoring and Assessment Task Force (MATF) develop and implement a process (ROMA) to assist the Community Services Network in managing the results. Thus, strong training, technical assistance, planning and data collections are essential to the continued results-oriented strategy to strengthen the management and delivery of services to low-income people.

Subject to the availability of funds, OCS is soliciting applications that implement these legislative mandates in a comprehensive and systematic manner on a nationwide or statewide basis, as appropriate to the priority area. OCS believes that identifying training and technical assistance needs requires substantial involvement of eligible entities working in partnership at local, State and national levels. Funds will be

awarded in the form of both grants and cooperative agreements.

Priority areas of the Office of Community Services' Fiscal Year 2001 Training, Technical Assistance and Capacity-Building Program are as follows:

**Priority Area 1.0: Training and Technical Assistance for ROMA Implementation**

*Sub-Priority Areas*

- 1.1 National Academy (NA)
- 2.1 Leadership Development (LD)
- 2.2 Train-the-Trainers (TT)
- 2.3 Best Practices (BP)
- 2.4 Impact Information (IF)
- 2.5 Special ROMA Technical Assistance (RM)

**Priority Area 2.0: CAA Capacity Building**

*Sub-Priority Areas*

- 2.1 National Training (CB)
- 1.2 Collection, Analysis and Dissemination of Information On the CSBG Activities (IS)
- 2.3 Local Capacity Building (CP)
- 1.3 Strengthening CAA Capacity to Address Legal Issues (LF)
- 1.4 Addressing Urban Needs (UI)
- 1.5 State CAA Association Capacity Building (EQ)

**Priority Area 3.0: Strengthening At-Risk Agencies**

- 2.1 Special State Technical Assistance
- 2.2 National Peer-to-Peer Assistance

**Priority Area 4.0: Information Sharing**

- 3.1 Information Sharing Tools

Activities under Sub-Priority Areas 2.1, National Training and Technical Assistance (CB); 2.2 Data Collection, Analysis and Dissemination (CP); 2.4, Strengthening CAA Capacity on Legal Issues Toward Problem Solving (LF); and 2.5 Technical Assistance to Address Urban Issues (UI) will be carried out under a continuation grant in FY 2001 without further competition and are included in the Availability of Funds section of this Announcement. Under Sub-Priority 1.2, Leadership Development (LD), OCS will provide continuation funding to an existing grantee and fund on additional new two-year project.

In order to ensure that OCS meets its compliance and technical assistance responsibilities for the CSBG Program continues its effective partnership with the Community Services Network; several of these continuation grants will be funded in the form of Cooperative Agreements.

Also, applications from States for funds under Sub-Priority 3.1, (ST) Special State Technical Assistance Activities, are being supported under a separate non-competitive grant application process. These State awards

will address fiscal and program deficiencies.

**Priority Area 1.0: Training and Technical Assistance for ROMA Implementation**

This Priority Area addresses the development and implementation of coordinated, comprehensive, nationwide or statewide training and/or technical assistance programs to assist State CSBG Lead Agency (SCLA) staff, staff of State and regional organizations representing eligible entities, and staff of local service providers which receive funding under the CSBG Act to acquire the skills and knowledge needed to achieve universal ROMA implementation by Fiscal Year 2003. Priority Area 1.10 also aims to reduce the number of "at risk" agencies through timely and effective management and program interventions, including planning, monitoring and evaluation of programs designed to ameliorate the causes of poverty in local communities. Proposals should include a description of how the applicant will collaborate with State CSBG staff and local service providers.

*Sub-Priority Area 1.1: National Academy (NA)*

OCS intends to fund one national "academy" to provide training in program administration and financial management. Through such support, OCS will provide the Community Services Network (CSN) with a national resource to address ROMA Goal #5: "Agencies increase their capacity to achieve results." The applicant under this Sub-Priority must be able to demonstrate a strong and effective history of providing basic program administration and fiscal management training on a local, regional, or national basis to new CAA officials or those in "at risk" CAAs. Applicants must demonstrate an understanding of the unique role of CAAs in coordinating a variety of programs, funding sources, and activities both within and outside the agency to achieve client and community outcomes. The application must document proposed course content, logistics, and means to evaluate the effectiveness of "academy" training based on a performance based model (ROMA) in such areas as, but not limited to: (1) Long-range and annual planning, (including needs assessment, board participation and governance, resource acquisition, relationship to other programs/services in the community); (2) Program administration (including resource allocation, oversight, record keeping, and reporting); (3) Human resource

management (staff recruitment, training, retention); (4) Facilities management; (5) Information systems (design, implementation, control and support); and (6) Program evaluation (including design implementation, reporting and board participation).

The successful applicant for the grant in this priority area will make available intensive, i.e., weeklong, training opportunities to CAA officials throughout the CSN based on needs identified by State CSBG Lead Agency officials (SCLAs). Some of these needs will be identified during the summer 2001 Regional Implementation Planning Meetings. The successful applicant must have the capacity to train a minimum of 200 participants a year at reasonable unit costs per participant. OCS intends to fund one project at a funding level of \$250,000 annually. The project period will be 36 months, and the funding will be awarded under a cooperative agreement.

*Eligible Applicants:* Community Action Agencies, and/or State CAA Associations.

*Sub-Priority Area 1.2: Leadership Development (LD)*

OCS intends to fund two national training initiatives focused specifically on helping States and local CSBG leaders understand and embrace the program renewal concepts embodied in the ROMA. One project will be funded under a continuation award to "Move the Mountain Leadership Center, Inc., Iowa; a second project will be a new three-year project under this competition.

The successful applicant under this sub-priority must demonstrate in its application experience in using ROMA to change the fundamental approach of CAAs from managing discrete programs and services to organizing efforts to achieve client and community outcomes. Applicants are asked to describe a proposed leadership training curriculum that focuses on but is not limited to:

- (1) The use of ROMA as a strategic planning tool (including the creation of an overall mission for community action at the State, or local level which addresses relationships to other service providers and programs at the State or local level with broad participation);
- (2) The use of ROMA to set specific performance measures related to client and community outcomes across all agency programs and services;
- (3) Organizing programs and services to achieve client/community results;
- (4) Measuring and reporting client/community outcomes; and

(5) Using ROMA generated data to advocate for additional resources with the community or State.

Successful applicants will be expected to address the needs of States and CSBG eligible entities. Each applicant must have the capacity to train 200 applicants in 2–4 day training sessions at a reasonable cost per participant.

OCS intends to fund one new three-year project at a level of \$138,000 annually and one continuation project at a funding level of \$136,000. The continuation grantee is Move the Mountain Leadership Center, Inc.

*Eligible Applicants:* Private non-profit organizations, eligible entities, State CSBG Agencies and State CAA Associations.

#### *Sub-Priority Area 1.3: Train-the-Trainers*

OCS intends to support the expansion of a “training-the-trainers” approach to implementing ROMA. By spreading the training capacity and making available a group of trained trainers in each of the DHHS Regional hubs, more community action agencies will have access to ROMA training. Applicants under this project must provide intensive training to participants who will be recruited from nominations made by the SCLAs and State Community Action Agency Associations. The training should be comprehensive and extensive, such that those completing the course will be certified as competent to train individually, or in groups, and all CAA staff levels on ROMA concepts and implementation. Applicants must provide for follow-up assistance to trainers, including consultation and sharing of new and updated information on training techniques and content.

This project will be funded for 36 months. The goal for the first year will be to train teams of five participants in each hub. The second year goal will be a shared training capacity between SCLAs and CAA State Associations in 25 States. The third year goal will establish a shared training capacity in an additional 25 States. Applicants must have a demonstrated capacity both in content knowledge and in this specific type of training. Applicants must base their training on the standards and goals for ROMA implementation as described in OCS Information Memorandum No. 49 (IM #49) dated February 21, 2001. IM #49 can be down-loaded from the OCS web site <http://www.acf.gov/programs/ocs/csbg/documents/im49.htm>. The training costs per participants under this project are to be included in this funding. The number of participants to be trained each year should be 30. The

funding level is \$300,000 annually and the project will be funded under a cooperative agreement.

*Eligible Applicants:* Private Non-profit Organizations, CAA State Associations and Eligible Entities

#### *Sub-Priority Area 1.4: Best Practices*

Six years of pioneering work in performance-based management has provided the Community Services Network with an abundance of best practices and model programs. While this knowledge base of successful ROMA implementers is known and available to some in the CSN, OCS believes that best practices and performers ought to be available to a broader audience of State and local agencies.

OCS intends to support up to 20 ROMA best practice implementers through grants under this Sub-Priority. Grants are to be used to subsidize the costs of having, “best practice consultants” provide training and technical assistance at regional, State or local community action meetings, as well as national association training and technical assistance conferences supported by the Office of Community Services. OCS seeks models for grants under this Sub-Priority from all agencies in the CSN. We are particularly interested in models and practitioners/consultants who have demonstrated successes in the following areas of ROMA implementation at the State or local levels:

- (1) Leadership Training and the Use of ROMA for Program Renewal;
- (2) ROMA-based Needs Assessment and Strategic Planning;
- (3) Development and Use of Client, Community, or Organizational Outcome Measures;
- (4) Board Involvement in Agency Goal Setting and Results-Oriented Oversight;
- (5) Client and/or Community-Focused Programming and Service Delivery;
- (6) ROMA-Focused Staffing (training, linkage to client/community outcomes);
- (7) ROMA Compatible Information Systems (collection, analysis and report of client, community and/or organizational outcomes);
- (8) Use of ROMA to Expand Program Linkages within and outside of Agency;
- (9) Results-Oriented Financial Management;
- (10) Ways of Using ROMA to “Tell Our Story” Better to State legislatures, local governing authorities, or the public; and
- (11) Other.

Applicants should include in the work program narrative of their application the following information:

- (1) A general agency program

description; (2) Goals of ROMA implementation based on the categories above; (3) Strategies adopted; (4) Problems encountered and addressed; (5) Program results; (6) Lessons learned; (7) Names of individuals responsible for best practices; and (8) Estimate of the availability of the individual(s) responsible for the lesson learned to participant on site visits, conference training, interactions by mail, electronic communication, etc. (up to 35 days).

OCS will publish a series of “Best Practices Papers” based on successful applications, which will be posted on the ROMA web sites and disseminated throughout the network. A panel of ROMA experts chosen by the OCS will review applications. Up to 20 grants will be awarded under cooperative agreements out of a total of \$100,000. The project period is 12 months.

*Eligible Applicants:* State CSBG Agencies, State CAA Associations, eligible entities, and private non-profit organizations in collaboration with a State CSBG Agency or local CSBG eligible entity.

#### *Sub-Priority 1.5: ROMA Impact Information*

OCS will fund a maximum of five (5) projects, (one State, two urban, and two rural grants) which demonstrate the use of ROMA-generated results information about results (changes in the lives of clients and communities) that can be used to advocate for additional State funding resources, local government resources and other private funds.

OCS believes that one of the most important elements of effective ROMA implementation lies in the creative use of outcome and impact information, which demonstrates that community action works. By demonstrating measurable outcomes in communities, the CSN can affect the growth and expansion of efforts to assist the low-income population more effectively. OCS wishes, therefore, to further encourage experimentation in targeting and using ROMA generated information by seeking model approaches to “Tell Our Story.”

Applicants for grants under this Sub-Priority Area must provide examples that describe the kinds of information being generated by ROMA in their State community. They must also document the potential audiences with which they plan to share the information and for what purpose. Finally, the application should contain a plan which describes how the information will be presented, i.e., written, oral, electronically or multi-media; whether assistance in preparing such presentations is required; and how they plan to evaluate

the success of their advocacy. Examples of previous successful efforts should also be included.

Applicants must indicate a willingness to report on their activities, provide data sets, and work with the OCS selected experts to produce model program information. Models produced through this effort will be widely disseminated to the CSN.

Approximately five (5) cooperative agreements will be awarded for a total of \$100,000. Subject to the availability of funds, the project period is two years.

*Eligible Applicants:* State CSBG Agencies, State CAA Associations, and Eligible Entities.

#### *Sub-Priority 1.6: State Specific Special ROMA Technical Assistance*

OCS will work with each State at regional meetings during the summer of 2001 to develop State ROMA Implementation Plans through Fiscal Year 2003. As a result of these regional meetings, OCS will make available to individual States or to regional consortiums of States organized around common issues, additional training and technical assistance funds to complete ROMA Implementation Plans. OCS plans to hold funds in reserve for project applications submitted in response to State specific ROMA Implementation Plans and timetables developed in concert with OCS at the summer 2001 Regional Meetings. OCS envisions that grants made under this Sub-Priority will be used for needs outside the scope or capacity of the training and technical assistance initiatives described under Sub-Priorities 1.1 through 1.5 above. Up to 30 grants will be awarded out of total of \$375,000. The project period will be 24 months.

*Eligible Applicants:* State CSBG Agencies in concert with State CAA Associations.

#### **Priority Area 2.0: CAA Capacity Building**

This priority area addresses activities to: assist states and eligible entities to acquire skills; improve the collection, analysis, dissemination and utilization of data and information on CSBG activities; promote management efficiency and program productivity by sharing effective management and program techniques; further understand legal frameworks; address urban needs; and build the expertise of State CAA associations to assistance eligible entities to better achieve the goals of the CSBG Program. Only projects under Sub-Priority Area 2.3, Local Capacity Building Projects are being competed under this program announcement.

Grants under Sub-Priority Areas 2.1, 2.2, 2.4, and 2.5 are included as a part of the OCS comprehensive training and technical assistance strategy. However, they are being funded as continuation grants and cooperative agreements and; therefore, they are not being competed under this program announcement.

Grantees awarded continuation under this Priority Area include:

- National Association of Community Action Agencies, Wash., D.C.—\$500,000; Sub-Priority Area 2.1—National Training (CB)
- National Association for State Community Services Programs—\$516,000; Sub-Priority 2.2—Collection, Analysis and Dissemination of Information on CSBG Activities (IS)
- Community Action Program Legal Services, Wash., D.C.—\$250,000; Sub-Priority 2.4—Legal Capacity Building (CP)
- The African American Community Action Leaders, Wash., D.C.—\$100,000; Sub-Priority 2.5—Addressing Urban Needs (UI)
- State CAA Association Capacity-Building (EQ)—50 CAA State Associations—\$2,500,000; Sub-Priority 2.6

#### *Sub-Priority Area 2.3: Local Capacity Building*

Project descriptions for continuation grants can be found on the Office of Community Services web site at <http://www.acf.gov/programs/ocs/csbg>.

The purpose of this sub-priority area is to promote management efficiency and program productivity. It is essential that local CAAs and other partners in the Community Services Network share effective program/management techniques and information systems technology being used and/or developed by eligible entities to address various aspects of poverty and the implementation of ROMA by the Community Services Network. Grants under this sub-priority will be made to Community Action Agencies to promote local CAA capacity building. Activities may include sharing of model needs assessment tools; sharing of effective data processing innovations; development of effective community organizing techniques; demonstration of scaling techniques; use of tracking systems; internal and external communication networks; effective integration of information systems; and sharing successful leveraging strategies. Applicants must include a plan that describes how the results achieved under this project will be shared with the larger Community Services Network.

OCS intends to fund approximately ten projects with a 12-months duration at a funding level of approximately \$200,000.

*Eligible Applicants:* Eligible Entities.

#### **Priority Area 3.0: Strengthening at-Risk Agencies**

The purpose of this Priority Area is to strengthen the fiscal and management capacity of eligible entities. The CSBG Act requires a State to offer appropriate technical assistance, if appropriate, to an eligible entity in crisis prior to instituting termination proceedings to stabilize such an entity. Projects funded under this priority area provide resources to assist eligible entities in addressing structural, financial and program deficiencies of at-risk agencies.

#### *Sub-Priority Area 3.1: Special State Technical Assistance (ST)*

A separate non-competitive awarded process has been established to carry out projects under Sub-Priority Area 3.1, Special State Technical Assistance. The goal of this sub-priority is to prevent the disruption of services to clients by stabilizing an eligible entity through the correction and improvement of identified programmatic deficiencies. Funds will be used to support comprehensive interventions in cases where an eligible entity is in a crisis situation. The CSBG legislation requires that States provide training and technical assistance prior to any termination procedures. Applications under this sub-priority must be submitted prior to June 29, 2001. Because this sub-priority is a part of the overall training and technical assistance strategy of the Office of Community Services, it is included for information purposes only.

OCS intends to fund approximately 20 projects with duration of 12 months at a funding level of approximately \$375,000.

#### *Sub-Priority Area 3.2: National Peer-to-Peer Assistance (PP)*

The purpose of this Sub-Priority area is to strengthen the fiscal and management capacity of eligible entities. OCS will fund one project which will provide coordinated, timely peer-to-peer technical assistance and crisis aversion intervention strategies for CAAs which have identified themselves as experiencing programmatic, administrative, board, and/or fiscal management problems. Also continuation funding in the amount of \$177,000 will be provided to the Mid-Iowa Community Action, Inc. Such technical assistance should be designed to prevent fiscal and management

problems from deteriorating into crisis situations that could threaten the capacity of the CAA to provide quality services to their communities or give rise to possible termination of funding. Based on written agreements with selected CAAs, the successful applicant will coordinate and deploy the technical assistance resources of experienced individuals within the CSN, or other agencies which administer similar programs in the identification and resolution of problems through necessary actions, including training, to ensure that relevant and timely assistance is provided. Such assistance may be requested to help an agency resolve adverse program monitoring or audit findings, improve or upgrade financial management systems, prevent losses of funds, avert serious deterioration of the board of directors, or other immediate assistance as requested. To the extent feasible, the applicant will be expected to develop an expert technical assistance resource bank of experienced individuals from the CSN who may be deployed to provide peer technical assistance. Approximately two new projects will be funded at a funding level of \$350,000 for duration of 12 months.

**Eligible Applicants:** Community Action Agencies and other eligible entities and statewide organizations or associations of Community Action Agencies.

#### **Priority Area 4.0: Information Sharing**

Web sites have proven to be an effective information-sharing tool and have become an integral part of the OCS CSBG training and technical assistance strategy. There is an official agency OCS/CSBG web site that contains basic program information as well as official regulations and communications to States and Community Action Agencies. Many of the State CAA Associations have web sites including the National Association of State Community Services Programs and the National Association of Community Action Agencies. These web sites contain valuable information and provide access to training and technical assistance resources and materials.

Under the leadership of the Office of Community Services, the Community Services Network is now entering an intense effort to ensure that the implementation of a major performance outcome system as mandated by the CSBG legislation and referred to as Results Oriented Management Accountability (ROMA) is operational. The CSN is fortunate to have initiated its own performance based ROMA system six years ago. As a voluntary

effort, ROMA built a strong foundation to ensure continuous program improvement and accountability among State agencies and local CSBG-service providers. As a part of this effort, six national goals for community action that both respect the diversity of the CSN network and provide clear expectations of results from efforts were identified. A number of performance measurement tools were developed and disseminated. A ROMA Guide was published and distributed to States and local CSBG entities. A pilot web site devoted to advancing ROMA knowledge, experience and success was designed and pilot tested.

Pursuant to the legislative mandate, the CSN network continues to work together to achieve universal acceptance and adoption of ROMA. There is an even greater need for effective exchange of information, and maximum access to materials, training and technical assistance resources.

#### ***Sub-Priority Area 4.1: Information Sharing Tools***

As an important part of meeting this need, the OCS will fund under Priority Area 4.0 a fully operational, specialized ROMA web site. The website will be built upon the current web site model but provide enhancements such as an increased capacity to handle a larger volume of materials, and easier access and downloading capacity. Sections of the web site should relate to the core activities as outlined in the OCS Information Memorandum #49 and the areas contained in the Sub-Priority Areas under Priority #1 of this Program Announcement. The application narrative should also address the web site evaluation findings that indicate which topic areas are most useful and which areas should be eliminated. Copies of Information Memorandum #49 and the evaluation of the current model ROMA web site are available on the CSBG web site at <http://www.acf.gov/programs/ocs/csbg/index>.

To be eligible for funding under this priority, an applicant must first demonstrate a thorough understanding of ROMA and the CSBG Program. Second, an interested applicant must be prepared to assure that the latest computer technology will be utilized which make for efficient, quick access and downloading capabilities. The applicant must also assure that it will have a database capable of handling large volumes of resource materials and best practice documentation. Finally, in order to be successful, the applicant must document the knowledge and capacity to:

- Check and print traffic reports. Harvest submitted forms, i.e., update new Subscribers, schedule training sessions;
- Recalculate hyperlinks to keep search functions operational;
- Perform ENG library update categorizing and updating topical archives by adding new messages from weekly digests;
- Send out ROMA web weekly updates;
- Maintain a subscriber database that currently totals 800 e-mail addresses with an expected 25 percent increase;
- Post new materials as they become available and delete time sensitive materials;
- Adjust organizational and categorization of existing pages to best fit evolving content;
- Establish a database to manage a substantial increase in the volume of new and/or updated materials generated;
- Conduct reviews and analysis of e-mail discussion groups. To be useful, this will require the investment of a considerable amount of time. Work with the OCS to develop additional discussion groups related to training and technical assistance resources being developed under this Program Announcement and elsewhere by the OCS. OCS will establish an advisory group on content to work with the ROMA web site to facilitate these efforts.
- Work with the OCS to develop an evaluation of the web site which will be linked to the overall goals of the ROMA implementation plan; and
- Provide demonstrations and promotional materials on the use of the web site at a minimum of two national CSN conferences and video-link demonstrations to selected OCS regional meetings and conferences and State CAA Association Meetings.

OCS plans to fund one 36-month cooperative agreement (subject to the availability of funds) under this Sub-Priority Area at a funding level of \$40,000 annually.

**Eligible Applicants:** State CSBG Agency, CAA State Associations, eligible entities or partnerships thereof.

#### **Part C—Application Prerequisites**

##### ***1. Eligible Applicants***

See individual sub-priority areas in Part B.

##### ***2. Forms of Awards***

The Office of Community Services intends to support new projects under Sub-Priority Areas: 1.1: National Academy, 1.3: Train-the-Trainers, 1.4:

Best Practices, and 4.1: Information-Sharing Tools under Cooperative Agreements. A cooperative agreement is an award instrument of financial assistance when substantial involvement is anticipated between the awarding office and the recipient organization during performance of the contemplated project. The Office of Community Services will outline plans of interaction with grantees for the implementation of Cooperative Agreements during pre-award negotiations. It is anticipated that OCS

responsibilities will not change the requirements for project identified in this Announcement. Plans under cooperative agreements will describe the general and specific responsibilities of the grantee and the grantor as well as foreseeable joint responsibilities. A schedule of tasks will be developed and agreed upon in addition to any special conditions relating to the implementation of such projects.

#### *Availability of Funds*

The total amount of funds currently available for new grant awards in FY

2001 under this Program Announcement is \$1,853,000. Subject to the availability of funds, an additional \$4,986,573 will be committed for continuation grants and cooperative agreements. For multi-year projects, continued funding is dependent upon proof of satisfactory performance and the availability of Federal funds. Amounts expected to be available and numbers of grants under each sub-priority area stated in Part B are as follows:

| Sub-priority area                                                                                   | Approx. funds available for new projects | Estimated number of new grants |
|-----------------------------------------------------------------------------------------------------|------------------------------------------|--------------------------------|
| 1.1 National Academy (NA) .....                                                                     | \$ 250,000                               | 1                              |
| 1.2 Leadership Development (LD) .....                                                               | 138,000                                  | 1 <sup>(2)</sup>               |
| 1.3 Train-the -Trainers (TT) .....                                                                  | 300,000                                  | Up to 2                        |
| 1.4 Best Practices (BP) .....                                                                       | 100,000                                  | Up to 20                       |
| 1.5 ROMA Impact Information (IF) .....                                                              | 100,000                                  | 1                              |
| 1.6 State Special ROMA Technical Assistance (RM) .....                                              | 375,000                                  | Up to 30                       |
| 2.1 National Training (CB) .....                                                                    | * <sup>(2)</sup>                         | * <sup>(2)</sup>               |
| 2.2 Collection, Analysis, and Dissemination of Information on CSBG Activities Nationwide (IS) ..... | * <sup>(2)</sup>                         | * <sup>(2)</sup>               |
| 2.3 Local Capacity-Building (CP) .....                                                              | 200,000                                  | Up to 10                       |
| 2.4 Strengthening CAA Capacity to Address Legal Issues (LF) .....                                   | * <sup>(2)</sup>                         | * <sup>(2)</sup>               |
| 2.5 Addressing Urban Needs (UI) .....                                                               | * <sup>(2)</sup>                         | * <sup>(2)</sup>               |
| 2.6 State CAA Association Capacity Building (EQ) .....                                              | * <sup>(2)</sup>                         | * <sup>(2)</sup>               |
| 3.1 Special Technical Assistance (ST) .....                                                         | 375,000                                  | * <sup>(3)</sup>               |
| 3.2 National Peer-to-Peer Technical Assistance (PP) .....                                           | 350,000                                  | Up to 2                        |
| 4.1 Information Sharing Tools (WB) .....                                                            | 40,000                                   |                                |
| Total .....                                                                                         | 1,853,000                                | Up to 68 New Grants            |

<sup>1</sup> This does not include the continuation grant in amount of \$136,753.

<sup>2</sup> Represent continuation grant awards in the amount of \$4,986,573.

<sup>3</sup> Projects under this Sub-priority area are being handled under a separate application process.

#### *Project and Budget Periods*

For projects included in the FY 2001 CSBG T&TA Program Announcement, the budget periods are 12 months and the project periods vary depending on the Sub-Priority Area. All continuation grants under Sub-Priority Areas 1.2 and 2.1, 2.2, 2.4, 2.5 and 3.2 will be made for 12-month budget periods (subject to the availability of funds).

#### *Project Beneficiaries*

The overall intended beneficiaries of the projects to be funded under the FY 2001 CSBG T&TA Program Announcement are the various "partners" in the Community Services Network. Specific beneficiaries are indicated under each sub-priority area in Part B. It is the intent of OCS, through funding provided under this program announcement, to significantly strengthen the capacity of State and regional CAA associations to provide technical assistance and support to local service providers; to strengthen the capacity of State CSBG offices to collect and disseminate accurate and reliable data and to provide support for local

service providers; and to enhance the capacities of local service providers themselves. The ultimate beneficiaries of improved program management, data and information collection and dissemination, and service quality of local service providers are low-income individuals, families, and communities.

#### *Sub-Contracting or Delegating Projects*

OCS will not fund any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. This prohibition does not bar the making of subgrants or subcontracting for specific services or activities needed to conduct the project. However, the applicant must have a substantive role in the implementation of the project for which funding is requested.

#### *Separate Multiple Applications*

Separate applications must be made for each sub-priority area. An applicant will receive only one grant in a sub-priority area and no more than two grants under this FY 2001 CSBG T&TA Program Announcement. Applicants

that receive more than one grant for a common budget and project period must be mindful that salaries and wages claimed for the same persons cannot collectively exceed 100 percent of the total annual salary. The sub-priority area must be clearly identified by title and number.

#### *Project Evaluations*

Each application must include an assessment or self-evaluation to determine the degree to which the goals and objectives of the project are met, such as client satisfaction surveys, administration of simple before/after tests of knowledge with comparison of scores to show grasp of teaching points, simple measures of the results of service delivery, and others as appropriate. Goal setting and goal measurement should be the framework for evaluation. Goals, to the extent suitable, should be impact-oriented.

#### **Part D—Application Procedures**

##### *1. Availability of Forms*

Applications for awards under the FY 2001 CSBG T&TA Program must be

submitted on Standard Forms (SF) 424, 424A, and 424B. Part F and the attachments to this program announcement contain all the instructions and forms required for submission of an application. These forms may be photocopied for use in developing the application.

Part F also contains instructions for the project narrative. The project narrative must be submitted on plain bond paper along with the SF-424 and related forms.

A copy of this program announcement is available on the Internet through the OCS web site at: <http://www.acf.dhhs.gov/programs/ocs>.

If the program announcement cannot be accessed through the OCS web site, it can be obtained by writing or telephoning the office listed under the section entitled **FOR FURTHER INFORMATION** at the beginning of this program announcement.

## 2. Deadlines

Refer to the section entitled "Closing Date" at the beginning of this program announcement for the last day on which applications should be submitted.

Mailed applications shall be considered as meeting the announced deadline if they are received on or before deadline date or postmarked on or before the deadline date and received by ACF in time for the independent review. Mailed applications must be sent to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management/OCSE, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center 901 D Street, SW., Washington, DC 20024, Attn: CSBG Training, Technical Assistance, and Capacity-Building 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 hand-carried by applicants, applicant couriers, or by other representatives of the applicant shall be considered 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, Monday through Friday, excluding Federal holidays, at the: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management/OCSE, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center 901 D Street, SW., Washington, DC 20024, Attn: CSBG Training, Technical Assistance, and Capacity-Building Program.

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. Applications, once submitted, are considered final and no additional materials will be accepted.

*Late applications.* Applications that 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 the deadline for all applicants affected by acts of God such as floods and hurricanes, when there is widespread disruption of the mail service. A determination to extend or waive deadline requirements rest with the Chief Grants Management Officer.

## 3. Number of Copies Required

One signed original application and two copies should be submitted at the time of initial submission (OMB 0970-0062). Two additional copies would be appreciated to facilitate the processing of applications.

## 4. Designation of Sub-Priority Area

The first page of the SF-424 must contain in the lower right-hand corner a designation indicating under which sub-priority area funds are being requested. For example, if you are applying for Sub-Priority Area 2.6—Local Capacity Building, you must have a designation of 2.6 in the lower right-hand corner. Without this clear designation, your proposal may not be reviewed correctly.

## 5. Paperwork Reduction Act of 1995 (P.L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection of information.

The project description is approved under OMB Control Number 0970-0062 which expires 12/31/2003.

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.

## 6. Intergovernmental Review

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

The following States and Territories have elected to participate under the Executive Order process and have established a Single Point of Contact (SPOC): Arkansas, California, Delaware, District of Columbia, Florida, Georgia, Illinois, Iowa, Kentucky, Maine, Maryland, Michigan, Mississippi, Missouri, Nevada, New Hampshire, New Mexico, North Carolina, North Dakota, Rhode Island, South Carolina, Texas, Utah, West Virginia, Wisconsin, American Samoa, Guam, Puerto Rico, the Commonwealth of Northern Mariana Islands, and the United States Virgin Islands.

Applicants for projects to be administered by Federally recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that OCS can obtain and review SPOC comments as a part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424A, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline date 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 they intend to trigger the "accommodate or explain" rule under 45 CFR 100.10.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Office of Grants Management/OCSE, 4th Floor, Aerospace Center, 370 L'Enfant Promenade, SW., Washington, DC 20447.

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

#### 7. Application Consideration

Applications that meet the screening requirements in Sections 8.a. and 8.b. below will be reviewed competitively. Such applications will be referred to reviewers for a numerical score and explanatory comments based solely on responsiveness to program guidelines and evaluation criteria published in this announcement.

Qualified panelist not directly responsible for programmatic management of the grant will review applications. The results of these reviews will assist OCS in considering competing applications. Reviewers' scores will weigh heavily in funding decisions but will not be the only factors considered. Applications will be ranked and generally considered in order of the average scores assigned by reviewers. However, highly ranked applications are not guaranteed funding since other factors deemed relevant may be considered including, but not limited to, the timely and proper completion of projects funded with OCS funds granted in the past five years; comments of reviewers and government officials; staff evaluation and input; geographic distribution; previous program performance of applicants; compliance with grant terms under previous DHHS grants; audit reports; investigative reports; and applicant's progress in resolving any final audit disallowance on OCS or other Federal agency grants.

OCS reserves the right to discuss applications with other Federal or non-Federal funding sources to ascertain the applicant's performance record.

#### 8. Criteria for Screening Applications

##### a. Initial Screening

All applicants will receive a written acknowledgment with an assigned identification number. This number, along with any other identifying codes, must be referenced in all subsequent communications concerning the application. If an acknowledgment is not received within three weeks after the deadline date, please notify ACF by telephone at (202) 401-5103.

All applications that meet the published deadline for submission will be screened to determine completeness and conformity to the requirements of this Announcement. Only those applications meeting the following requirements will be reviewed and evaluated competitively. Others will be returned to the applicants with a notation that they were unacceptable.

(1) The application must contain a Standard Form 424 "Application for Federal Assistance" (SF-424), a budget (SF-424A), and signed "Assurances" (SF-424B) completed according to instructions published in Part F and Attachments A, B, and C of this program announcement.

(2) A budget narrative, which corresponds to the object class categories in the SF 424A for the use of Federal funds, must be included in the application.

(3) The SF-424 and the SF-424B must be signed by an official of the applicant organization who has authority to obligate the organization legally.

(4) A project narrative must also accompany the standard forms.

##### b. Pre-Rating Review

Applications, which pass the initial screening, will be forwarded to reviewers and/or OCS staff to verify, prior to the programmatic review, that the applications comply with this program announcement in the following areas:

(1) *Eligibility:* Applicant meets the eligibility requirements found in Part B. Applicant also must be aware that the applicant's legal name as required on the SF 424 (item 5) *must match* that listed as corresponding to the Employer Identification Number (Item 6).

(2) *Duration of Project:* The application contains a project that can be successfully implemented in the project period.

(3) *Target Populations:* The application clearly targets the specific outcomes and benefits of the project to State staff administering CSBG funds, CAA State or regional associations, and/or local providers of CSBG-funded services and activities. Benefits to low-income consumers of CSBG services also must be identified.

(4) *Program Focus:* The application must address the purpose of the sub-priority area under which funding is being requested.

An application may be disqualified from the competition and returned to the applicant if it does not conform to one or more of the above requirements.

##### e. Evaluation Criteria

Applications that pass the pre-rating review will be assessed and scored by reviewers. Each reviewer will give a numerical score to 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 this announcement.

The in-depth evaluation and review process will use the following criteria coupled with the specific requirements contained in Part B.

#### Criteria for Review and Evaluation of Applications Submitted Under This Program Announcement

##### (1) Criterion I: Need for Assistance (Maximum: 20 Points)

(a) The application documents that the project addresses vital needs related to the purposes stated under the appropriate sub-priority area discussed in this program announcement (Part B) and provides statistics and other data and information in support of its contention. (0-10 points).

(b) The application provides current supporting documentation or other testimonies regarding needs from State CSBG Directors, local service providers and/or State and Regional organizations of local service providers. (0-10 points)

##### (2) Criterion II: Work Program (Maximum: 30 Points)

The work program is results-oriented, appropriately related to the legislative mandate and specifically related to the sub-priority area under which funds are being requested.

Applicant addresses the following: Specific outcomes to be achieved; performance targets that the project is committed to achieving, including reasons for not setting lower or higher target levels and how the project will verify the achievement of these targets; critical milestones which must be achieved if results are to be gained; organizational support, including priority this project has for the agency; past performance in similar work; and specific resources contributed to the project that are critical to success.

Applicant defines the comprehensive nature of the project and methods that will be used to ensure that the results can be used to address a statewide or nationwide project as defined by the priority area.

*(3) Criterion III: Significant and Beneficial Impact: (Maximum: 15 Points)*

Applicant adequately describes how the project will assure long-term program and management improvements and have advantages over other products offered to achieve the same outcomes for State CSBG offices, CAA State and/or regional associations, and/or local providers of CSBG services and activities.

The applicant indicates the types and amounts of public and/or private resources it will mobilize, how those resources will directly benefit the project, and how the project will ultimately benefit low-income individuals and families.

If proposing a project with a training and technical assistance focus, applicant indicates the number of organizations and/or staff it will impact.

If proposing a project with a data collection focus, applicant provides a description of the mechanism it will use to collect data, how it can assure collections from a significant number of States, and the number of States willing to submit data to the applicant.

If proposing to develop a symposium series or other policy-related project(s), the applicant identifies the number and types of beneficiaries.

Methods of securing participant feedback and evaluations of activities are described in the application.

*(4) Criterion IV: Evidence of Significant Collaborations (Maximum 10 Points)*

Applicant describes how it will involve partners in the Community Services Network in its activities. Where appropriate, applicant describes how it will interface with other related organizations.

If subcontracts are proposed, documentation of the willingness and capacity for the subcontracting organization(s) to participate is described.

*(5) Criterion V: Ability of Applicant to Perform (Maximum: 20 Points)*

(a) The applicant demonstrates that it has experience and a successful track record relevant to the specific activities and program area that it proposes to undertake.

If applicant is proposing to provide training and technical assistance, it details its competence in the specific program priority area and as a deliverer with expertise in the specific fields of training and technical assistance on a nationwide basis.

If applicable, information provided by the applicant also addresses related

achievements and competence of each cooperating or sponsoring organization. (0–10 points)

(b) Applicant fully describes, for example in a resume, the experience and skills of the proposed project director and primary staff showing specific qualifications and professional experiences relevant to the successful implementation of the proposed project. (0–10 points)

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

(a) The resources requested are reasonable and adequate to accomplish the project. (0–3 points)

(b) Total costs are reasonable and consistent with anticipated results. (0–2 points)

**Part E—Contents of Application and Receipt Process**

*1. Contents of Application*

A cover letter containing an e-mail address and a facsimile (FAX) number, if available, should accompany the application. This will facilitate receipt of an acknowledgment from ACF that the application has been received. (See Part D., 8.a.)

Each application should include one original and three additional copies of the following:

a. A completed Standard Form 424 which has been signed by an official of the organization applying for the grant who has authority to obligate the organization legally. The applicant must be aware that, in signing and submitting the application for this award, it is certifying that it will comply with the Federal requirements concerning the drug-free workplace and debarment regulations set forth in Attachments D and E.

b. “Budget Information-Non-Construction Programs” (SF-424A). (Attachment B)

c. A completed, signed and dated “Assurances—Non-Construction Programs” (SF-424B). (Attachment C)

d. Drug-free Certification. (The applicant is certifying that it will comply with this requirement by signing and submitting the SF-424.) (Attachment D)

e. Debarment Certification. (Attachment E)

f. Certification Regarding Environmental Tobacco Smoke. (The applicant is certifying that it will comply with this requirement by signing and submitting the SF-424.) (Attachment F)

g. Disclosure of Lobbying Activities, SF-LLL. Complete, sign and date form, as appropriate. (Attachment G)

h. A Project Abstract of 500 words or less. The abstract should provide a succinct description of the need, project goals, and a summary of work plan and the proposed impact. Abstract will be maintained as part of the Grantee Administration Tracking System (GATES).

i. A Project Narrative consisting of the following elements preceded by a consecutively numbered table of contents that will describe the project in the following order:

- (i) Need for Assistance.
- (ii) Work Program.
- (iii) Significant and Beneficial Impact.
- (iv) Evidence of Significant Collaborations.

(v) Ability of Applicant to Perform.

(vi) Appendices including proof of non-profit status, such as IRS determination of non-profit status, where applicable; relevant sections of by-laws, articles of incorporation, and/or statement from appropriate State CSBG office which confirms eligibility; resumes; Single Point of Contact comments, where applicable; and any partnership/collaboration agreements.

The original must bear the signature of the authorizing official representing the applicant organization.

The total number of pages for the entire application package should not exceed 35 pages, including appendices. Pages should be numbered sequentially throughout.

If appendices include photocopied materials, they must be legible.

Applications should be two-hole punched at the top center and fastened separately with a compressor slide paper fastener or a binder clip. The submission of bound applications or applications enclosed in a binder are specifically discouraged.

Applications must be submitted on white 8½ x 11-inch paper only since OCS may find it necessary to duplicate them for review purposes. They must not include colored, oversized or folded materials; organizational brochures or other promotional materials; slides; films; clips; etc. They will be discarded if included.

**Part F—Instructions for Completing Application Package**

(Approved by the OMB under Control Number 0970-0062)

The standard forms attached to this program announcement shall be used when submitting applications for all funds under this announcement.

It is recommended that the applicant reproduce the SF-424, (Attachment A), SF-424A (Attachment B), SF-424B (Attachment C) and that the application be typed on the copies. If an item on the

SF-424 cannot be answered or does not appear to be related or relevant to the assistance requested, the applicant should write "NA" for "Not applicable."

The application should be prepared in accordance with the standard instructions in Attachments A and B corresponding to the forms, as well as the specific instructions set forth below:

*1. SF-424 "Application for Federal Assistance"*

**Item**

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

5. and 6. The legal name of the applicant must match that listed as corresponding to the Employer Identification Number. Where the applicant is a previous Department of Health and Human Services grantee, enter the Central Registry System Employee Identification Number (CRS/EIN) and the Payment Identifying Number, if one has been assigned, in the Block entitled "Federal Identifier" located at the top right hand corner of the form.

7. If the applicant is a non-profit corporation, enter "N" in the box and specify "non-profit corporation" in the space marked "Other." Proof of non-profit status such as IRS determination, articles of incorporation, or by-laws, must be included as an appendix to the project narrative.

8. For the purposes of this announcement, all applications are "New."

9. Enter "DHHS-ACF/OCS."

10. The Catalog of Federal Domestic Assistance number for the OCS program covered under this announcement is "93.570."

11. In addition to a brief descriptive title of the project, the following priority area designations must be used to indicate the priority and sub-priority areas for which funds are being requested:

NA—Sub-Priority Area 1.1—National Academy

LD—Sub-Priority Area 1.2—Leadership Development

TT—Sub-Priority Area 1.3—Train-the-Trainers

BP—Sub-Priority Area 1.4—Best Practices

IF—Sub-Priority Area 1.5—ROMA Impact Information

RM—Sub-Priority Area 1.6—State Special ROMA Technical Assistance

CB—Sub-Priority Area 2.1—National Training

IS—Sub-Priority Area 2.2—Collection, Analysis, and Dissemination of Information on CSBG Activities Nationwide

CP—Sub-Priority Area 2.3—Local Capacity Building

LF—Sub-Priority Area 2.4—Strengthen CAA Capacity to Address Legal Issues

UI—Sub-Priority Area 2.5—Addressing Urban Problems

PP—Sub-Priority Area 3.1—Special Technical Assistance

WB—Sub-Priority Area 4.1—Information Sharing Tools

The title is "Office of Community Services' Discretionary CSBG Awards—Fiscal Year 2001 Training, Technical Assistance, and Capacity-Building Programs."

15a. For purposes of this announcement, this amount should reflect the amount requested for the entire project period.

15b–e. These items should reflect both cash and third party in-kind contributions for the total project period.

*2. SF-424A—"Budget Information-Non-Construction Programs"*

See instructions accompanying the form as well as the instructions set forth below:

In completing these sections, the Federal budget entries will relate to the requested OCS Training and Technical Assistance Program funds only, and Non-Federal will include mobilized funds from all other sources—applicant, State, and other. Federal funds, other than those requested from the Training and Technical Assistance Program should be included in Non-Federal entries.

Sections A and D must contain entries for both Federal (OCS) and non-Federal (mobilized).

**Section A—Budget Summary**

Col. (a): Line 1—Enter "OCS Training and Technical Assistance Program";

Col. (b): Line 1—Enter "93.570".

Col. (c) and (d): Not Applicable.

Col. (e)–(g): For lines 1 enter in column (e), (f) and (g) the appropriate amounts needed to support the project for the entire project period.

Line 5—Enter the figures from Line 1 for all columns completed under (e), (f), and (g).

**Section B—Budget Categories**

This section should contain entries for OCS funds only. For all projects, the first budget period of 12 months will be entered in Column #1. Allowability of costs is governed by applicable cost principles set forth in 45 CFR parts 74 and 92.

A separate itemized budget justification should be included to explain fully and justify major items, as indicated below. The budget justification should immediately follow the Table of Contents.

Column 5: Enter total requirements for Federal funds by the Object Class Categories of this section.

*Line 6a—Personnel:* Enter the total costs of salaries and wages.

*Justification:* Identify the project director. Specify by title or name the percentage of time allocated to the project, the individual annual salaries and the cost to the project (both Federal and Non-Federal) of the organization's staff who will be working on the project.

*Line 6b—Fringe Benefits:* Enter the total costs of fringe benefits, unless treated as part of an approved indirect cost rate which is entered on line 6j.

*Justification:* Enter the total costs of fringe benefits, unless treated as part of an approved indirect cost rate.

*Line 6c—Travel:* Enter total cost of all travel by employees of the project. Do not enter costs for consultant's travel.

*Justification:* Include the name(s) of traveler(s), total number of trips, destinations, length of stay, mileage rate, transportation costs and subsistence allowances.

*Line 6d—Equipment:* Enter the total costs of all non-expendable personal property to be acquired by the project. Equipment means tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

*Justification:* Equipment to be purchased with Federal funds must be required to conduct the project, and the applicant organization or its subgrantees must not already have the equipment or a reasonable facsimile available to the project. The justification also must contain plans for future use or disposal of the equipment after the project ends.

*Line 6e—Supplies:* Enter the total costs of all tangible personal property (surplus) other than that included on line 6d.

*Line 6h—Other:* Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to, insurance, food, medical and dental costs (noncontractual), fees and travel paid directly to individual consultants, local transportation (all travel which does not require per diem is considered local travel), space and equipment rentals, printing and publication, computer use training costs including tuition and stipends, training service costs including wage payments to individuals and supportive service payments, and staff development costs.

**Line 6j—Indirect Charges:** Enter the total amount of indirect costs. This line should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or other Federal agencies. With the exception of States and local governments, applicants should enclose a copy of the current approved rate agreement if it was negotiated with a Federal agency other than the Department of Health and Human Services. For an educational institution, the indirect costs on training grants will be allowed at the lesser of the institution's actual indirect costs or 8 percent of the total direct costs.

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately, upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the pertinent *DHHS Guide for Establishing Indirect Cost Rates*, and submit it to the appropriate DHHS Regional Office.

It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool cannot be budgeted or charged as direct costs to the grant.

**Line 6k—Totals:** The total amount shown in Section B, Column (5), should be the same as the amount shown in Section A, line 5, column (e).

**Line 7—Program Income:** Enter the estimated amount of income, if any is expected to be generated from this project. Separately show expected program income generated from OCS support and income generated from other mobilized funds. Do not add or subtract this amount from the budget total. Show the nature and source of income in the program narrative statement.

Column 5: Carry totals from column 1 to column 5 for all line items.

**Justification:** Describe the nature, source and anticipated use of program income in the Program Narrative Statement.

#### Section C—Non-Federal Resources

This section is to record the amounts of Non-Federal resources that will be used to support the project. Non-Federal resources refer to other than OCS funds for which the applicant has received a commitment. Provide a brief explanation, on a separate sheet, showing the type of contribution, broken out by Object Class Categories, section B.6) and whether it is cash or third party in-kind. The firm commitment of these required funds

must be documented and submitted with the application.

Except in unusual situations, this documentation must be in the form of letters of commitment or letters of intent from the organization(s)/individuals from which funds will be received.

**Line 8—Col. (a):** Enter the project title.

Col. (b): Enter the amount of cash or donations to be made by the applicant.

Col. (c): Enter the State contribution.

Col. (d): Enter the amount of cash and third party in-kind contributions to be made from all other sources.

Col. (e): Enter the total of column (b), (c), and (d). Lines 9, 10, and 11 should be left blank.

**Line 12:** Carry the total of each column of line 8, (b) through (e). The amount in column (e) should be equal to the amount on section A, Line 5, and column (f).

**Justification:** Describe third party in-kind contributions, if included.

#### Section D—Forecasted Cash Needs

**Line 13—**Enter the amount of Federal (OCS) cash needed for this grant for first year and by quarter, during the first 12-month budget period.

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

**Line 15—**Enter the total of Lines 13 and 14 for all columns.

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

To be completed by applicants applying for funds for a three year project period.

#### Section F—Other Budget Information

**Line 21—**Include narrative justification required under Section B for each object class category for the total project period.

**Line 22—**Enter the type of HHS or other Federal agency approved indirect cost rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied and the total indirect expense. Also, enter the date the rate was approved, where applicable. Attach a copy of the approved rate agreement if it was negotiated with a Federal agency other than the Department of Health and Human Services. If the applicant decides not to apply an indirect cost rate to the proposal, then "this line should be left blank."

**Line 23—**Provide any other explanations and continuation sheets required or deemed necessary to justify or explain the budget information.

#### 3.SF-424B "Assurances Non-Construction"

Applicant must sign and return the "Assurances" found at Attachment C with its application.

#### 4. Project Narrative

Each narrative section of the application must address one or more of the focus areas described in Part B and follow the format outlined below:

- (a) Need for Assistance
- (b) Work Program
- (c) Significant and Beneficial Impact
- (d) Evidence of Significant

Collaborations

- (e) Ability of the Applicant to Perform
- (f) Adequacy of the Budget

#### Part G—Post Award Information and Reporting Requirements

Following approval of the applications selected for funding, notice of project approval and authority to draw down project funds will be made in writing. The official award document is the Financial Assistance Award, which indicates, the amount of Federal funds approved for use in the project, the project and budget periods for which support is provided, the terms and conditions of the award, and the total project period for which support is contemplated.

In addition to the standard terms and conditions which will be applicable to grants, grantee will be subject to the provisions of 45 CFR parts 74 (non-governmental) and 92 (governmental) and OMB Circulars A-122 (nonprofit) and A-87 (governmental).

Grantees will be required to submit semi-annual program progress narrative and financial reports (SF-269) as well as a final program progress narrative report and a final financial report.

Grantees are subject to the audit requirements in 45 CFR parts 74 (non-governmental) and 92 (governmental) and OMB Circular A-133.

Section 319 of Public Law 101-121, signed into law on October 23, 1989 imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. It provides exemptions for Indian tribes and tribal organizations. Current and prospective recipients (and their sub-tier contractors and/or grantees) are prohibited from using Federal funds, other than profits from a Federal contract, for lobbying Congress or any Federal agency in connection with the award of a contract, grant, cooperative agreement, or loan. In addition, for each award action in excess of \$100,000 (or \$150,000 for loans) the law requires recipients and

their subtier contractors and/or subgrantees (1) to certify that they have neither used nor will use any appropriated funds for payment to lobbyists, (2) to disclose the name, address, payment details, and purpose of any agreements with lobbyists whom recipients or their subtier Contractors or subgrantee will pay with profits or *non-appropriated* funds on or after December 22, 1989, and (3) to file quarterly up-dates about the use of lobbyists if material changes occur in their use. The law establishes civil penalties for noncompliance. See Attachment F for certification and disclosure forms to be submitted with the applications for this program.

Public Law 103-227, Part C. Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to

children under the age of 18, if the services are funded by Federal programs either directly or through States or local government by Federal grant, contract, loan or loan guarantee. The law does not apply to facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for in-patient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

Attachment H indicates the regulations that apply to all applicants/grantees under this program.

Dated: June 25, 2001.

**Robert Mott,**

*Acting Director, Office of Community Services.*

**CSBG Training, Technical Assistance and Capacity-Building Program**

*List of Attachments*

- A—Application for Federal Assistance, SF 424
- B—Budget Information—Non-Construction Programs, SF 424A
- C—Assurances—Non-Construction Programs, SF 424B
- D—Certification Regarding Drug-Free Work Place
- E—Debarment Certification
- F—Certification Regarding Environmental Tobacco Smoke
- G—Disclosure of Lobbying Activities, SF-LLL
- H—DHHS/ACF Standard Terms and Conditions—Discretionary Grants
- I—Listing of State Single Points of Contact

**BILLING CODE 4184-01-P**

Attachment A, Page 1

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

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

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**Instructions for the SF-424**

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

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

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

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present

Federal identifier number. If for a new project, leave blank.

5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.

6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7. Enter the appropriate letter in the space provided.

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

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

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

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

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

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

13. Self-explanatory.

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

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

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

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

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

**BILLING CODE 4184-01-P**

OMB Approval No. 0348-0044

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

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

**SECTION B - BUDGET CATEGORIES**

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

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

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**Instructions for the SF-424A**

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

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

**General Instructions**

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

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

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

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

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

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

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

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

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

Line 5—Show the totals for all columns used.

**Section B. Budget Categories**

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

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

Line 6j—Show the amount of indirect cost.

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

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

**Section C. Non-Federal Resources**

Lines 89-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

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

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

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

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

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

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

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

**Section F. Other Budget Information**

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

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

Line 23—Provide any other explanations or comments deemed necessary.

**Attachment C—Assurances—Non-Construction Programs**

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

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

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

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

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

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

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

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

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

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 U.S.C. 900, Subpart F).

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

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

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

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable, requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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Signature of Authorizing Official

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Title

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Applicant Organization

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Date Submitted

#### **Attachment D—Certification Regarding Drug-Free Workplace Requirements**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

#### *Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)*

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

2. The certification set out below is a material representation of fact upon which

reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

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

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

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

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

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

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

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

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

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

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

subrecipients or subcontractors in covered workplaces).

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

##### *Alternate I. (Grantees Other Than Individuals)*

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

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

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

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

(1) Abide by the terms of the statement; and

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

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

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

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

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

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

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

##### *Alternate II. (Grantees Who Are Individuals)*

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

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

#### **Attachment E—Certification Regarding Debarment, Suspension and Other Responsibility Matters**

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

###### *Instructions for Certification*

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

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

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

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

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered

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

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

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

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

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

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

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions*  
Instructions for Certification

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

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

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

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed

for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions*

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

**Attachment F—Certification Regarding Environmental Tobacco Smoke**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor

routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

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

#### **Attachment G—Certification Regarding Lobbying**

##### *Certificate for Contracts, Grants, Loans, and Cooperative Agreements*

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempt to influence an officer

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

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

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

section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less \$10,000 and not more than \$100,000 for each such failure.

##### *Statement for Loan Guarantees and Loan Issuance*

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

**BILLING CODE 4184-01-P**

Attachment G, Page 2

Approved by OMB

0348-0046

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure.)

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

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

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

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

2. Identify the status of the covered Federal action.

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

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

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

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

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

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

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

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

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

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

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

### DEPARTMENT OF HEALTH AND HUMAN SERVICES (DHHS)

#### ADMINISTRATION FOR CHILDREN AND FAMILIES (ACF)

##### STANDARD TERMS AND CONDITIONS—DISCRETIONARY GRANTS

The attached Financial Assistance Award is subject to Federal legislation and to DHHS and ACF regulations and policies. These include the following:

1. For institutions of higher education, hospitals, other non-profit organizations, and commercial (for-profit) organizations, Title 45 of Code of Federal Regulations (45 CFR) Part 74, "Uniform Administrative Requirements for Awards and Sub-awards to Institutions of Higher Education, Hospitals, Other Non-Profit Organizations; and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments and Indian Tribal Governments." [http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr74\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr74_99.html)

2. For States, local governments and Federally recognized Indian Tribes, 45 CFR Part 92, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." [http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr92\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr92_99.html)

3. Other DHHS regulations codified in Title 45 of the Code of Federal Regulations: [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/45cfrv1\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/45cfrv1_00.html)

Part 16—Procedures of the Departmental Grants Appeals Board

Part 30—Claims Collections

Part 46—Protection of Human Subjects

Part 76—Government-wide Debarment and Suspension (Non-Procurement) and

Government-wide Requirements for Drug-Free Workplace (Grants)

Part 80—Nondiscrimination Under Programs Receiving Federal Assistance through the DHHS Effectuation of Title VI of the Civil Rights Acts of 1964

Part 81—Practice and Procedure of Hearings Under Part 80 of this Title

Part 84—Nondiscrimination on the Basis of Handicap in Programs and Activities receiving Federal Financial Assistance

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

Part 91—Nondiscrimination on the Basis of Age in DHHS programs or Activities receiving Federal Financial Assistance

Part 93—New Restriction on Lobbying

Part 100—Intergovernmental review of DHHS Program and Activities

4. 37 CFR Part 401—Right to Inventions made by Nonprofit Organizations and Small Business firms under Government Grants, Contracts, and Cooperative Agreements. [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/37cfr401\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/37cfr401_00.html)

5. The recipient organization must carry out the project according to the application as approved by the Administration for Children and Families (ACF), including the proposed work program and any amendments, all of which are incorporated by reference in these terms and conditions.

6. If this is a multi-year project and it is not the final budget period, the grantee is advised that future awards for continuation of this project will be dependent upon the availability of Federal funds, satisfactory progress by the grantee, and ACF's determination that continued funding is in the best interest of the Federal government.

7. Grantees shall liquidate all obligations incurred under the award no later than 90 days after the end of the project period. The only exceptions to this rule are the basic Head Start grants with an indefinite project period. For these grants, liquidation of obligations should occur no later than 90 days after each budget period. In either case, an unobligations balance from a prior budget period does not authorize a grantee to obligate funds in excess of the total federally approved budget reflected on the FAA for the current budget period.

8. The DHHS Inspector General maintains a toll free number, 800-HHS-TIPS (800-447-8477), for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Such reports are kept confidential, and callers may decline to give their names if they choose to remain anonymous. <http://www.dhhs.gov/progorg/oei/hotline/hhshot.html>

9. The grantee will take all necessary affirmative steps to ensure that small, minority and women-owned business firms are utilized when possible as sources of supplies services, equipment and construction. To the extent practicable, all equipment and products purchased with funds made available through this award should be American made.

10. Failure to submit reports (i.e., financial, progress, or other required reports) on time may be the basis for withholding financial

assistance payments, suspension termination or denial or refunding. A history of such unsatisfactory performance may result in designation of "high-risk" status for the recipient organization and may jeopardize potential future funding from DHHS.

11. Under Section 508 of Public Law 103-333, the following condition is applicable to all Federal awards:

"When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments and recipient of Federal research grants shall clearly state (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) the percentage and dollar amount of total costs of the project or program that will be refinanced by nongovernmental sources."

12. Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children's Act of 1994 requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantees. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. <http://www.ed.gov/legislation/GOALS2000/TheAct/sedc1043.html>

13. For purposes of this award each item of equipment with acquisition cost of less than \$5,000 is included under supplies, is allowable as a direct cost of this project, and does not require prior approval of the Grants Officer. Conversely, an item of equipment with an acquisition cost of \$5,000 or more is NOT considered an allowable project cost without prior approval of the Grants Management Officer.

14. The Grantee shall comply with all provisions of OMB Circular A-133 (revised June 24, 1997), "Audit of State, Local Governments and Non-Profit Organizations." <http://www.whitehouse.gov/omb/circulars/a133/a133.html> Grantees that expend a total of \$300,000 or more in Federal funds are required to submit an annual audit within nine months after the end of the audit period. The Reporting Package should include: (1) SF-SAC-Data Collection Form for Reporting on Audits of State, Local Governments and Non-Profit Organizations. <http://harvester.census.gov/fac/collect/formoptions.html>; (2) Summary of prior audit findings; (3) Auditors reports and (4) Corrective action plans. Copies of this Reporting Package are to be sent to: Single Audit Clearinghouse, Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47132.

15. Grantee shall comply with the particular set of Federal cost principles that

applies in determining allowable cost. Allowability of costs shall be determined in accordance with the cost principles applicable to the entity incurring the costs:

- The allowability of costs incurred by State, local or Federally-recognized Indian tribal governments is determined in accordance with the provisions of OMB Circular A-87, "Cost Principles for States and Local Governments." <http://www.whitehouse.gov/omb/circulars/a087/a087.html>

- The allowability of costs incurred by nonprofit organizations (except for those listed in Attachment C of Circular A-122) is determined in accordance with the provisions of OMB Circular A-122, "Cost Principles for Nonprofit Organizations" and paragraph (b) of 45 CFR, 74.27. <http://www.whitehouse.gov/omb/circulars/a122/a122.html>

- The allowability of costs incurred by institutions of higher education is determined in accordance with the provisions of OMB Circular A-21, "Cost Principles for Educational Institutions." <http://www.whitehouse.gov/omb/circulars/a021/a021.html>

- The allowability of costs incurred by hospital is determined in accordance with the provisions of Appendix E of 45 CFR Part 74, "Principles for Determining Cost Applicable to Research and Development Under Grants and Contracts with Hospitals."

- The allowability of cost incurred by commercial organizations and those nonprofit organizations listed in Attachment C to Circular A-122 is determined in accordance with the provision of the Federal Acquisition Regulation (FAR) at 48 CFR Part 31, except that independent research and development costs are unallowable [http://www.access.gpo.gov/nara/cfr/waisidx\\_99/48cfr31\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/48cfr31_99.html)

#### Office of Management and Budget

It is estimated that in 2001 the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below. States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

#### Arkansas

Tracy L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 1515 W. 7th St., Room 412, Little Rock, Arkansas 72203,

Telephone: (501) 682-1074, Fax: (501) 682-5206, [tlcopeland@dfa.state.ar.us](mailto:tlcopeland@dfa.state.ar.us)

#### California

Grants Coordination, State Clearinghouse, Office of Planning and Research, P.O. Box 3044, Room 222, Sacramento, California 95812-3044, Telephone: (916) 445-0613, Fax: (916) 323-3018, [state.clearinghouse@opr.ca.gov](mailto:state.clearinghouse@opr.ca.gov)

#### Delaware

Charles H. Hopkins, Executive Department, Office of the Budget, 540 S. Dupont Highway, 3rd Floor, Dover, Delaware 19901, Telephone: (302) 739-3323, Fax: (302) 739-5661, [chopkins@state.de.us](mailto:chopkins@state.de.us)

#### District of Columbia

Ron Seldon, Office of Grants Management and Development, 717 14th Street, NW., Suite 1200, Washington, DC 20005, Telephone: (202) 727-1705, Fax: (202) 727-1617, [ogmd-ogmd@degov.org](mailto:ogmd-ogmd@degov.org)

#### Florida

Florida State Clearinghouse, Department of Community Affairs, 2555 Shumard Oak Blvd., Tallahassee, Florida 32399-2100, Telephone: (850) 922-5438, (850) 414-5495 (direct), Fax: (850) 414-0479

#### Georgia

Georgia State Clearinghouse, 270 Washington Street, SW., Atlanta, Georgia, 30334, Telephone: (404) 656-3855, Fax: (404) 656-7901, [gach@mail.opb.state.ga.us](mailto:gach@mail.opb.state.ga.us)

#### Illinois

Virginia Bova, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, Fax (312) 814-8485, [vbova@commerce.state.il.us](mailto:vbova@commerce.state.il.us)

#### Iowa

Steven R. McCann, Division of Community and Rural Development, Iowa Department of Economic Development, 200 East Grant Avenue, Des Moines, Iowa 50309, Telephone: (515) 242-4719, Fax: (515) 242-4809, [steve.mccann@ided.state.ia.us](mailto:steve.mccann@ided.state.ia.us)

#### Kentucky

Ron Cook, Department for Local Government, 1024 Capital Center Drive, Suite 340, Frankfort, Kentucky 40601, Telephone: (502) 573-2382, Fax: (502) 573-2512, [ron.cook@mail.state.ky.us](mailto:ron.cook@mail.state.ky.us)

#### Maine

Joyce Benson, State Planning Office, 184 State Street, 38 State House Station, Augusta, Maine 04333, Telephone: (207) 287-3261, (207) 287-1461 (direct), Fax: (207) 287-6489, [joyce.benson@state.me.us](mailto:joyce.benson@state.me.us)

#### Maryland

Linda Janey, Manager, Clearinghouse and Plan Review Unit, Maryland Office of Planning, 301 West Preston Street—Room 1104, Baltimore, Maryland 21201-2305, Telephone: (410) 767-4490, Fax: (410) 767-4480, [linda@mail.op.state.md.us](mailto:linda@mail.op.state.md.us)

*Michigan*

Richard Pfaff, Southeast Michigan Council of Governments, 535 Griswold, Suite 300, Detroit, Michigan 48226, Telephone: (313) 961-4266, Fax: (313) 961-4869, pfaff@semcog.org

*Mississippi*

Cathy Mallette, Clearinghouse Officer, Department of Finance and Administration, 1301 Woolfolk Building, Suite E, 501 North West Street, Jackson, Mississippi 39201, Telephone: (601) 359-6762, Fax: (601) 359-6758

*Missouri*

Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Truman Building, Room 840, Jefferson City, Missouri 65102, Telephone: (573) 751-4834, Fax: (573) 522-4395, pohll\_@mail.ia.state.mo.us

*Nevada*

Heather Elliott, Department of Administration, State Clearinghouse, 209 E. Musser Street, Room 200, Carson City, Nevada 89701, Telephone: (775) 684-0209, Fax: (775) 684-0260, hellott@govmail.state.nv.us

*New Hampshire*

Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review Process, Mike Blake, 2-1/2 Beacon Street, Concord, New Hampshire 03301, Telephone: (603) 27-2155, Fax: (603) 271-1728, jtaylor@osp.state.nh.us

*New Mexico*

Ken Hughes, Local Government Division, Room 201 Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone: (505) 827-4370, Fax: (505) 827-4948, khughes@dfa.state.nm.us

*North Carolina*

Jeanette Furney, Department of Administration, 1302 Mail Service Center,

Raleigh, North Carolina 27699-1302, Telephone: (919) 807-2323, Fax: (919) 733-9571, jeanette.furney@ncmail.net

*North Dakota*

Jim Boyd, Division of Community Services, 600 East Boulevard Ave, Dept 105, Bismarck, North Dakota 58505-0170, Telephone: (701) 328-2094, Fax: (701) 328-2308, jboyd@state.nd.us

*Rhode Island*

Kevin Nelson, Department of Administration, Statewide Planning Program, One Capitol Hill, Providence, Rhode Island 02908-5870, Telephone: (401) 222-2093, Fax: (401) 222-2083, knelson@doa.state.ri.us

*South Carolina*

Omeagia Burgess, Budget and Control Board, Office of State Budget, 1122 Ladies Street, 12th Floor, Columbia, South Carolina 29201, Telephone: (803) 734-0494, Fax: (803) 734-0645, aburgess@budget.state.sc.us

*Texas*

Denise S. Francis, Director, State Grants Team, Governor's Office of Budget and Planning, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 305-9415, Fax: (512) 936-2681, dfrancis@governor.state.tx.us

*Utah*

Carolyn Wright, Utah State Clearinghouse, Governor's Office of Planning and Budget, State Capitol, Room 114, Salt Lake City, Utah 84114, Telephone (801) 538-1535, Fax: (801) 538-1547, cwright@gov.state.ut.us

*West Virginia*

Fred Cutlip, Director, Community Development Division, West Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone (304) 558-4010, Fax: (304) 558-3248, fcutlip@wvdo.org

*Wisconsin*

Jeff Smith, Section Chief, Federal/State Relations, Wisconsin Department of Administration, 101 East Wilson Street—6th Floor, P.O. Box 7868, Madison, Wisconsin 53707, Telephone: (608) 266-0267, Fax: (608) 267-6931, jeffrey.smith@doa.state.wi.us

*American Samoa*

Pat M. Galea'i, Federal Grants/Programs Coordinator, Office of Federal Programs, Office of the Governor/Department of Commerce, American Samoa Government, Pago Pago, American Samoa 96799, Telephone: (684) 633-5155, Fax: (684) 633-4195, pmgaleai@samoatelco.com

*Guam*

Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agana, Guam 96910, Telephone: 011-671-472-2285, Fax: 011-472-2825, jer@ns.gov.gu

*Puerto Rico*

Jose Caballero / Mayra Silva, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (787) 723-6190, Fax: (787) 722-6783

*North Mariana Islands*

Ms. Jacoba T. Seman, Federal Programs Coordinator, Office of Management and Budget, Office of the Governor, Saipan, MP 96950, Telephone: (670) 664-2289, Fax: (670) 664-2272, omb.jseman@saipan.com

*Virgin Islands*

Ira Mills, Director, Office of Management and Budget, #41 Norre Gade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802, Telephone: (340) 774-0750, Fax: (340) 766-0069, irmills@usvi.org

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