

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. OCS-96-08]

#### Request for REACH Plans Under the Office of Community Services FY 1996 Low-Income Home Energy Assistance Program, Residential Energy Assistance Challenge Option (REACH) Program

**AGENCY:** Office of Community Services, ACF, DHHS.

**ACTION:** Announcement of availability of funds and request for REACH plans under the Office of Community Services Residential Energy Assistance Challenge Option (REACH) Program.

**SUMMARY:** The Administration for Children and Families (ACF), Office of Community Services (OCS) announces that, based on availability of funds, REACH Plans will be accepted for grants pursuant to the Secretary's authority under Section 2607B(b) of the Low-Income Home Energy Assistance Act of 1981, as amended, 42 U.S.C. 8621 et seq.

**CLOSING DATES:** The closing date and time for receipt of REACH applications is 4:30 p.m., eastern time zone, on September 3, 1996. Applications received after 4:30 p.m. on that day will be classified as late. Postmarks and other similar documents do not establish receipt of an application. Detailed application submission instructions including the addresses where applications must be received are found in Part VI B, Application Submission.

**FOR FURTHER INFORMATION CONTACT:** Office of Community Services, Administration for Children and Families, Division of Community Demonstration Programs, 370 L'Enfant Promenade, S.W., Fifth Floor, Washington, D. C. 20447. Attention: Richard Saul—(202) 401-9341; Anna Guidery—(202) 401-5318.

This Notice is accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. For assistance in accessing the Bulletin Board, a *Guide to Accessing and Downloading* is available from Ms. Minnie Landry at (202) 401-5309.

The Catalog of Federal Domestic Assistance number for this program is 93.568.

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#### Part I. Introduction

##### A. Legislative Authority

Section 2607B(b) of the Low-Income Home Energy Assistance Act of 1981, as amended, 42 U.S.C. 8621 et seq., authorizes the creation of the Residential Energy Assistance Challenge Option (REACH) Program, to be funded for the first time in FY 1996. REACH is designed to provide services through local community-based agencies to help LIHEAP eligible households reduce their energy vulnerability.

The Secretary is authorized to make incentive grants to States, Tribes, Tribal Organizations, and certain Insular Areas that submit qualifying Plans, hereinafter referred to as REACH Plans, that are approved by the Secretary as REACH initiatives. Successful applicants are to use such grants for the costs of planning, implementing, and evaluating the initiative.

The Secretary must also reserve from any funds allocated under the REACH initiative, funds to make additional payments to REACH programs that (a) have energy efficiency education services plans that meet quality standards established by the Secretary in consultation with the Secretary of Energy; and (b) have the potential for being replicable model designs for other programs.

This Announcement is requesting competitive REACH Plans from eligible applicants which are consistent with the information, requirements, and program elements and review criteria outlined in Parts II, III, IV, and V, below.

##### B. Definition of Terms

For purposes of this Program Announcement, the following definitions apply [Definitions marked with an asterisk(\*) are the definitions found in Section 2603 of the Low Income Home Energy Assistance Act, as amended, (42 U.S.C. 8622) and apply to the REACH Initiative]:

—**Budget Period:** The term "budget period" refers to the interval of time into which a multi-year period of assistance (project period) is usually divided for budgetary and funding purposes.

- Community-based, nonprofit*: A corporation or association whose profits may not lawfully accrue to the benefit of any shareholder or individual, and whose goals, objectives and activities are established and carried out through a process involving the participation of residents of the community or local area being served, including low-income residents.
- Community-Based Organization Recipient (CBO Recipient)*: The Community-based nonprofit entity through which State REACH Project services shall be delivered in the applicant State under Priority Area 1.0.
- Energy burden*\* means the expenditures of the household for home energy divided by the income of the household.
- Energy crisis*\* means weather-related and supply shortage emergencies and other household energy-related emergencies.
- Highest home energy needs*\* means the home energy requirements of a household determined by taking into account both the energy burden of such household and the unique situation of such household that results from having members of vulnerable populations, including very young children, individuals with disabilities, and frail older individuals.
- Home energy*\* means a source of heating or cooling in residential dwellings.
- Household*\* means any individual or group of individuals who are living together as one economic unit for whom residential energy is customarily purchased in common or who make undesignated payments for energy in the form of rent.
- Innovative project*: One that departs from or significantly modifies past program practices and tests (a) new approach(es).
- Intervention*: Any planned activity within a project that is intended to produce changes in the target population or the environment, and can be formally evaluated.
- Nonprofit Organization*: A corporation or association whose profits may not lawfully accrue to the benefit of any shareholder or individual (and through which REACH Project services may be delivered under Priority Area 2.0).
- Outcome evaluation*: An assessment of measured results designed to provide a valid determination of the net effects attributable to the intervention. An outcome evaluation will produce and interpret findings

related to whether the intervention produced desirable changes and its potential for replicability. It should answer the question, "Did this program work?"

- Poverty level*\* means, with respect to a household in any State, the income poverty line as prescribed and revised at least annually pursuant to section 673(2) of the Community Services Block Grant Act, as applicable to such State. (See Attachment A.)
- Process evaluation*: Descriptive information that is gathered on the development and implementation of a program/intervention that may serve as a document for replicating the program elsewhere. The evaluation should also identify problems that occurred and how they were dealt with and recommend improved means of future implementation. It should answer the question: "How was the program carried out?" In concert with the outcome evaluation, it should also help explain, "Why did this program work/not work?"
- Project period*: The term "project period" refers to the total time for which a project is approved for support, including any extensions.
- Secretary*\* means the Secretary of Health and Human Services.
- State*\* means each of the several States and the District of Columbia.
- State median income*\* means the State median income promulgated by the Secretary in accordance with procedures established under section 2002(a)(6) of the Social Security Act (as such procedures were in effect on the day before the date of the enactment of this Act) and adjusted, in accordance with regulations prescribed by the Secretary, to take into account the number of individuals in the household.

#### C. Purpose

As described in the authorizing legislation, the purpose of the REACH Program is to—

- (1) minimize health and safety risks that result from high energy burdens on low-income Americans;
- (2) prevent homelessness as a result of inability to pay energy bills;
- (3) increase efficiency of energy usage by low-income families; and
- (4) target energy assistance to individuals who are most in need.

In keeping with this broad mandate, OCS will support a limited number of innovative Pilot Projects that seek to demonstrate the long term cost effectiveness of supplementing energy assistance payments with non-monetary benefits that can increase the ability of eligible households to meet energy costs

and help them to achieve energy self-sufficiency.

#### Part II. Background Information

##### A. Program Priority Areas

The REACH Program will have two Priority Areas: Priority Area 1.0, for which eligible applicants are States, the District of Columbia and Puerto Rico; and Priority Area 2.0, for which eligible applicants are Tribes, Tribal Organizations, and certain Insular Areas which are LIHEAP grantees that use LIHEAP funds to implement a LIHEAP Program.

##### B. Project Periods and Budget Periods

(See Part I, B, Definition of Terms)

The Low Income Home Energy Assistance Act of 1981 authorizes a block grant program of which the REACH Program is a part, and to which 45 CFR Parts 74 and 92 and OMB Circulars do not apply. However, 45 CFR Part 96 does apply to REACH funds. Grantees must obligate REACH funds within the Fiscal Year following the Fiscal Year in which the REACH grant was awarded by OCS.

1. *Project Periods*. Project periods will be 36 months for all REACH projects under Priority Area 1.0 and for projects under Priority Area 2.0 when the applicant elects to delegate the project to a non-profit organization as described below.

States under Priority Area 1.0 and applicants under Priority Area 2.0 with thirty-six month Project Periods are encouraged to provide for completion of the planning and consummation of awards to sub-recipients within a time frame that will allow for adequate start-up and an implementation period of at least two years, followed by a phase-out period that will permit completion of the required evaluation under Priority Area 1.0 and reporting under Priority Area 2.0.

Project periods will be 12 months under Priority Area 2.0 where applicants elect to operate projects directly, as described below.

2. *Budget Periods*. Budget Periods for all REACH Projects in Priority Areas 1.0 and 2.0 will be twelve months (one year).

(a) In the case of projects under Priority Area 1.0, States will receive grants for the full amount of the three-year Project Period, and will award REACH funds to CBO Recipients for total project budgets covering the full Project Period as described above, and should solicit and/or design local projects accordingly. Applicants under Priority Area 1.0 may include in the REACH Initiative budget an amount up

ten percent (10%) of the total REACH grant for planning, administration, and coordinating costs at the State level, and for contracting with a third party evaluator as defined in Part IV-A, Element VI, below, and discussed in Part III-A.6., during the first project year (the first twelve month budget period) of the REACH Initiative. States may apply for continued funding for such costs for each of the second and third project years (budget periods) on a non-competitive basis, for an amount each year of up to two and one-half percent (2.5%) of the original grant, subject to the availability of funds, satisfactory progress of the grantee, and determination that this would be in the best interest of the government.

(b) In the case of REACH Projects under Priority Area 2.0, where applicants elect to operate REACH projects through non-profit organizations, grants awarded pursuant to this announcement will likewise be for the full amount of the three year Project Period, and applicants will in like manner award REACH funds to sub-recipients for total project budgets covering the full Project Period as described in the preceding paragraph (a). Such applicants may include up to five percent (5%) of the total REACH grant for planning, administration and coordinating costs of the first year, which may be continued for years two and three on the same terms as described in preceding paragraph (a).

(c) Where applicants under Priority Area 2.0 elect to operate REACH programs themselves, as described below, grants awarded pursuant to this announcement will be for 12-month (one year) Project and Budget Periods only.

#### *C. Availability of Funds and Grant Amounts*

The total amount expected to be available for REACH Initiative grants pursuant to this announcement is approximately \$5,000,000. The Office of Community Services expects to award up to eight competitive grants under Priority Area 1.0 for General Pilot Projects of \$500,000 to \$1,500,000 each for the planning, implementation and evaluation of REACH Initiatives; but the total amount awarded under Priority Area 1.0 will not exceed \$4,000,000, except as provided under Priority Area 2.0. OCS expects to award up to eight grants under Priority Area 2.0 for smaller Pilot Projects of \$50,000 to \$150,000 each to Indian Tribes and Tribal Organizations for a total of up to \$400,000. Any funds not awarded under Priority Area 2.0 will be available for funding under Priority Area 1.0.

Pursuant to the legislative mandate, an additional \$600,000 has been reserved by the Secretary to make additional payments of up to \$100,000 each to qualifying funded REACH Initiatives under Priority Area 1.0, and payments of up to \$25,000 each under Priority Area 2.0, for implementation and evaluation of Energy Efficiency Education Services Plans which meet the Quality Standards established in consultation with the Secretary of Energy which are set forth in Part V of this Announcement, and have the potential for being replicable model designs for other programs. Where any funded REACH Initiatives do not qualify for such payments, available reserved funds may be distributed among the applicants that do qualify, at the discretion of OCS and through negotiation with the qualifying applicants.

#### *D. Program Participants/Beneficiaries*

Projects proposed for funding under this announcement must result in direct benefits to low-income individuals and families who are eligible for LIHEAP benefits under the applicant's LIHEAP program, pursuant to Section 2605(b)(2) of the Low Income Home Energy Assistance Act of 1981, as amended. However, not all LIHEAP recipients and/or eligible households must be provided REACH services. Applicants may target a portion of the LIHEAP-eligible population for REACH services.

Attachment A to this announcement is an excerpt from the Poverty Income Guidelines currently in effect. Annual revisions of these guidelines are normally published in the Federal Register in February or early March of each year. Where relevant to REACH eligibility criteria, grantees will be required to apply the most recent guidelines throughout the project period. These revised guidelines also may be obtained at public libraries, Congressional offices, or by writing the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. They also are accessible on the OCS Electronic Bulletin Board for reading and/or downloading. (See **FOR FURTHER INFORMATION** at beginning of this announcement.)

Consistent with the legislative purpose of the REACH Initiative "to target energy assistance to individuals who are most in need", projects proposed for funding under this Announcement may further restrict eligibility to lower income individuals and families within the LIHEAP eligible universe.

Under the authorizing legislation applicants may designate all or part of the State or all or part of the client population as a focus of its REACH Initiative. The Secretary has determined that in order best to compare the cost effective outcomes of REACH benefits with those of LIHEAP payment benefits alone, the geographic/client focus of the REACH program should be one which results in REACH expenditures bearing a reasonable relationship to the LIHEAP payment benefits available to the same target population. For example, if the target population of the REACH Project were to receive REACH benefits costing ten times the amounts they received in LIHEAP payments, it would be difficult to compare the long-term cost effectiveness of these benefits with those of LIHEAP payments alone. Consequently, REACH Project expenditures should not be less than one-half nor more than twice the amount of LIHEAP benefits paid within the REACH service area to REACH eligible households over two years, under the current appropriation. In other words, if LIHEAP financial assistance to a REACH target population totals \$100,000 over two years, the applicant should plan to provide between \$50,000 and \$200,000 in REACH services to that target population area.

#### *E. Prohibition and Restrictions on the Use of Funds*

The use of funds for the purchase or construction of real property is prohibited. Costs incurred for rearrangement and alteration of facilities required specifically for the funded program are allowable when specifically approved by ACF in writing. However, in keeping with the legislative mandate to include in REACH Project activities energy related residential repair and energy efficiency improvements, such activities will not be considered to be violative of these prohibitions or restrictions.

If the applicant is proposing a project which will affect a property listed in, or eligible for inclusion in the National Register of Historic Places, it must identify this property in the narrative and explain how it has complied with the provisions of section 106 of the National Historic Preservation Act of 1966 as amended. If there is any question as to whether the property is listed in or eligible for inclusion in the National Register of Historic Places, the applicant should consult with the State Historic Preservation Officer. (See Attachment D: SF-424B, Item 13 for additional guidelines.) The applicant should contact OCS early in the

development of its application for instructions regarding compliance with the Act and data required to be submitted to the Department of Health and Human Services. Failure to comply with the cited Act will result in the application being ineligible for funding consideration.

#### *F. Multiple Submittals and Multiple Grants*

Due to the limited number of grants that will be made under this program, only one application from any one eligible applicant will be funded by OCS from FY 1996 REACH funds. (This does not preclude applicants under Priority Area 1.0 from including more than one local REACH Project/CBO Recipient in their REACH plans.)

#### *G. Maintenance of Effort*

The activities funded under this program announcement must be in addition to, and not in substitution for, activities previously carried on without Federal assistance. Also, the benefits and services provided eligible participants in the REACH Project must be provided in addition to and in coordination with benefit payments and services provided under the applicant's regular LIHEAP Program. A signed certificate of Maintenance of Effort must be included with the application (see Attachment J).

### **Part III. Reach Priority Areas and Program Requirements**

#### *A. Program Requirements for Priority Area 1.0*

1. Eligible Applicants for Priority Area 1.0. Eligible applicants for these grants under Priority Area 1.0 are the fifty States, the District of Columbia and Puerto Rico. They must deliver REACH services, in one or more specific projects, through community-based, nonprofit organizations, hereinafter referred to as CBO Recipients, by awarding grants to or entering into contracts with such CBO Recipients for the purpose of providing such services and payments directly to individuals eligible for benefits. If a State makes LIHEAP payments directly to eligible individuals or energy suppliers, the State must enter into contract(s) with such CBO Recipients to administer such programs, including (i) determining eligibility, (ii) providing outreach services, and (iii) providing benefits other than payments.

In awarding grants or entering into contracts to carry out its REACH Initiative, the State must give priority to eligible entities, as defined in Section 673 of the Community Services Block

Grant Act (42 U.S.C. 9902(1)) except where significant geographic portions of the State are not served by such entities, that (1) have a record of successfully providing services under the Low-Income Home Energy Assistance Program (as determined by DHHS), and (2) receive funds under the Department of Energy's Low Income Weatherization Assistance Program. The State may not require any such entity to operate a REACH Project.

#### **2. Program Focus.**

The goals of a Priority 1.0 funded REACH Plan over the project period must include:

- (1) a reduction in energy costs of participating low-income households;
- (2) an increase in the regularity of home energy bill payments by participating households; and
- (3) an increase in energy vendor contributions towards reducing energy burdens of eligible households.

As noted above, so that the cost effective outcomes of REACH benefits may best be compared with those of LIHEAP benefits alone, an Applicant, in designating the REACH service area or segment of the eligible population to be served by the proposed REACH Plan, should seek to define (an) area(s) or population segment(s) whose allocation under the LIHEAP program bears a reasonable relationship to the resources available to the REACH Project. That is, REACH Project expenditures should not be less than one-half or more than twice the amount of LIHEAP benefits paid within the REACH service area to REACH eligible households over two years, under the current appropriation. In this regard, the applicant should consider the totality of resources that will be available to support the REACH Project's implementation and the level of benefit and/or services reasonably required to achieve the Project's goals and objectives. This will be a function, in part, of the specific interventions that will go to make up the "benefits and services" in the particular Project design; and an objective of every REACH Plan should be to measure the success of such interventions in achieving more cost-effective long-term outcomes than energy payment benefits alone. Thus OCS is interested in REACH Plans that propose testing innovative approaches to helping low-income families achieve energy self-sufficiency, and ultimate independence from energy assistance payments.

3. Economic Development Strategy and Mobilization of Resources. OCS is interested in having Applicants approach the energy needs of low-income families within a holistic context of the economic, social,

physical, and environmental barriers to achieving self-sufficiency. Thus applicants should include in their REACH Plan an explanation of how the proposed project(s) will be integrated with and support a larger economic development strategy within the target community or communities.

REACH grantees are not required to match REACH grant awards with either cash or in-kind contributions of goods and services. However, in keeping with this holistic integration of REACH Projects within the community, they are expected to be closely coordinated with other public and private sector programs involved with community revitalization, housing rehabilitation and weatherization, and family development; and OCS will give favorable consideration in the application review process to applicants who mobilize third-party cash and/or in-kind contributions for direct use in the REACH Project. Even though there is no matching requirement for the REACH Program, grantees will be held accountable for any match, cash or in-kind contribution proposed or pledged as part of an approved application. (See Part IV, Element III.)

If the REACH service area or portion thereof is covered by a comprehensive community-based strategic plan, such as that required for applying for Empowerment Zone/-Enterprise Community (EZ/EC) status, to achieve both economic and human development in an integrated manner, applicants should document how they and/or the designated CBO Recipient(s) were involved in the preparation and implementation of the plan, and how the proposed REACH project(s) will support the goals of that plan. (See Part IV-A, Element VIII.)

4. Scope of the Priority Area 1.0 REACH Plan. A State may submit a REACH Plan which proposes one local REACH Project to be implemented by one CBO Recipient; it may submit a Plan in which the same project is proposed to be implemented in several localities by separate CBO Recipients; or it may submit a plan proposing two or more different and distinct Projects, each to be implemented through a separate CBO Recipient. Where a State proposes different and distinct REACH Projects to be carried out by more than one CBO Recipient, the REACH Plan should include, for each of these projects/CBO Recipients, a separate narrative section, no more than ten pages in length, covering Element I (with three Sub-Elements), explaining the project Theory, Design and Plan of the proposed project, as explained in Part IV, and designated as Segment One

of the Project Narrative; and a Budget Justification as described in Element II, covering Project Budget Appropriateness. As set forth in Part IV, "Segment One" of the Project Narrative should describe the concept of the proposed REACH Project, describing the goals or outcomes that the project seeks to achieve; the needs of the target population that the project seeks to address, and the assumptions about how those needs can be met; and the activities or interventions that the project will undertake to meet the needs and achieve the goals and outcomes of the project.

Where a REACH Plan proposes only one distinct project, to be implemented either in one locality or in several, by either one or more than one CBO Recipient, then the Plan need include only one Segment One narrative.

Each Priority Area 1.0 REACH Plan must also include the designation, in accordance with the priorities described in Section A. 1., above, of the CBO Recipient(s) through which the proposed project(s) will be implemented. With each Priority Area 1.0 REACH Plan there must be included a Letter of Agreement from each designated CBO Recipient subscribing to the project concept as described in the appropriate Segment One narrative section of the Plan and agreeing to operate the REACH project as proposed. The Letter of Agreement must also commit the CBO Recipient(s) to a process of Low-Income Citizen Participation in the establishment of the local REACH Project, as described in Section A. 5., below.

The REACH Plan must include a description of the methodology the State and local agencies will use to determine—

- (i) which households will receive one or more forms of benefits under the REACH Initiative;
- (ii) the cases in which nonmonetary benefits are likely to provide more cost-effective long-term outcomes than payment benefits alone; and
- (iii) the amount of such benefits required to meet the goals of the program.

The Plan must also include a method to be used for targeting REACH nonmonetary benefits. It should further provide that the State will award the grant(s) or contract(s) for implementation of the REACH Project within a time frame that will allow for adequate start-up and an implementation period of at least two years, followed by a phase-out period that will permit completion of the required evaluation. (See Part II-B. 1.,

Project Periods, and Part IV-A, Sub-Element I(c))

Finally, the REACH Plan must include:

(A) a brief description of the crisis and emergency assistance activities the State will undertake that are designed to:

- (1) discourage family energy crises;
- (2) encourage responsible vendor and consumer behavior; and
- (3) provide only financial incentives that encourage household payment; (See Part IV-A, Sub-Element I(b))

(B) a brief description of the activities the State will undertake to—

- (1) provide incentives for recipients of assistance to pay home energy costs; and
- (2) provide incentives to vendors to help reduce the energy burdens of recipients of assistance.

(C) an assurance that, subject to the methodologies described above, each CBO Recipient will provide a variety of services and benefits, including—

(i) payments to, or on behalf of, individuals eligible for residential energy assistance services and benefits under Section 2605(b) for home energy costs;

(ii) energy efficiency education;

(iii) residential energy demand management services, including any other energy related residential repair and energy efficiency improvements in coordination with, or delivered by, Department of Energy weatherization assistance programs at the discretion of the State;

(iv) family services, such as counseling and needs assessment, related to energy budget management, payment plans, and related services; and

(v) negotiation with home energy suppliers on behalf of households eligible for REACH services and benefits. (See Part IV-A, Sub-Element I(b)). Project activities should be closely coordinated with the applicant's LIHEAP Program and with Empowerment Zone/-Enterprise Community Initiatives where applicable; (See Part IV-A, Element VIII) and,

(D) an assurance that no regulated utility covered by the plan will be required to act in a manner that is inconsistent with applicable regulatory requirements. (See Part IV-A, Element VII.)

5. Low-Income Citizen Participation. To be considered for funding a REACH Plan must include provision for the systematic and regularized solicitation, by the designated CBO Recipient(s), of the views of eligible low-income individuals in the community; and for

the assurance, by means of an advisory board or similar process, that such organization(s) will be responsive to such views in the development and implementation of the local Project. Assurance for compliance with these requirements may be accomplished through the Letter of Agreement required in Paragraph 4, above. (See Part IV-A, Sub-Element I(a))

6. Third-Party Project Evaluation. REACH Plans must include provision for an independent, methodologically sound evaluation of the effectiveness of the activities carried out with the grant and their efficacy in achieving stated project goals related to reducing participant home energy costs and increasing the ability of participants to meet such costs independent of payment subsidy, including, specifically, the performance goals set out above at the opening of Section A. 2., Program Focus, above.

The Plan should include a well thought through outline of an evaluation plan for the proposed project(s). The outline should explain how the applicant proposes to answer the key questions about how effectively the project is being/was implemented (the Process Evaluation) and whether and why/why not the project activities or interventions achieved the expected outcomes and goals of the project(s) (the Outcome Evaluation). (See Part I, Section B for definitions of Process and Outcome Evaluations.) Applicants may propose a single evaluation for their overall REACH Initiative, or separate evaluations for individual projects, as and where appropriate.

In addition to the performance goals mentioned above, the outline should include a description of the indicators that will be used by the State (and the CBO Recipient(s)) to measure whether the goals have been achieved.

The evaluation must be conducted by an independent, third-party evaluator, i.e., a person with recognized evaluation skills who has experience with social programs and is organizationally distinct from, and not under the control of, the applicant or the local organization(s) implementing the REACH Project. It is important that each successful applicant have a third-party evaluator selected, and performing at the very latest by the time the work program of the project is begun, and if possible before that time so that he or she can participate in the final design of the program, in order to assure that data necessary for the evaluation will be collected and available.

7. Consistency With LIHEAP Legislation. To be funded, a REACH Plan must include a demonstration that

it is consistent with the following Sections of the Low Income Home Energy Assistance Act, as amended: Section 2603; paragraphs (2), (3), (4), (5), (7), (10), (11), (12), (13), and (14) of Section 2605(b); Subsections (d), (e), (f), (g), (h), (i), and (j) of Section 2605; and Section 2606.

The definitions in Section 2603 have been incorporated into the definitions in Part I, Section B of this Announcement and will apply to the REACH Initiative. The rest of the cited sections, subsections and paragraphs are set forth in Attachment K to this Announcement.

8. Dissemination of Project Results. REACH Plans should include provision for disseminating the results of the project. Applicants may budget up to \$5,000 for dissemination purposes.

#### *B. Special Program Requirements for Priority Area 2.0*

1. Eligible Applicants for Priority Area 2.0. Eligible Applicants for these grants under Priority Area 2.0 are Indian Tribes and Tribal Organizations which are current grantees of the LIHEAP Program; and the Insular Areas of American Samoa, Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, and Guam, provided they are LIHEAP grantees that use LIHEAP funds to implement a LIHEAP Program. In accordance with 45 CFR 96.42(a), the Secretary has determined that inasmuch as these applicants are generally representative of and close to their communities, which with few exceptions are relatively small; and inasmuch as they generally implement their LIHEAP programs and other social service programs directly; that therefore the requirements of Section 2607B(e)(2) (A) and (B) are not applicable to eligible applicants under Priority Area 2.0; and that consequently REACH grantees under Priority Area 2.0 may implement REACH programs directly, without delegation to CBO Recipients. However, as explained in Part II B, Budget Periods, above, applicants electing to implement their REACH Projects directly will be limited to projects of one year duration (Project and Budget Periods of one year only).

Applicants under Priority Area 2.0 may also elect to operate their projects through grants or contracts to non-profit organizations. However, in such cases the non-profit organization does not have to be a community based organization (CBO) as defined Part I. If they choose to operate their projects through non-profit organizations, the Project and Budget Periods applicable to Priority Area 1.0 will apply.

2. Program Focus. The Program Focus for Priority Area 2.0 REACH projects

should be the same as for Priority Area 1.0, described above in Section A.2.

3. Economic Development Strategy. Although OCS is interested in having applicants under Priority Area 2.0 approach the energy needs of low-income families within a holistic context of the economic, social, physical, and environmental barriers to achieving self-sufficiency, applicants under Priority Area 2.0 will not be required to include a specific Economic Development Strategy in their REACH Plan.

4. Scope of the Priority Area 2.0 REACH Plan. The Priority 2.0 REACH Plan should describe the concept of the proposed REACH Project, describing the goals or outcomes that the project seeks to achieve; the needs of the target population that the project seeks to address, and the assumptions about how those needs can be met; and the activities or interventions that the project will undertake to meet the needs and achieve the goals and outcomes of the project.

The REACH Plan must include a description of the methodology the State and local agencies will use to determine—

(i) which households will receive one or more forms of benefits under the REACH Initiative;

(ii) the cases in which nonmonetary benefits are likely to provide more cost-effective long-term outcomes than payment benefits alone; and

(iii) the amount of such benefits required to meet the goals of the program;

The Plan must also include a method to be used for targeting REACH nonmonetary benefits.

Finally, the REACH Plan must include:

(A) a brief description of the crisis and emergency assistance activities the applicant will undertake that are designed to:

(1) discourage family energy crises;

(2) encourage responsible vendor and consumer behavior; and

(3) provide only financial incentives that encourage household payment;

(B) a brief description of the activities the applicant will undertake to—

(1) provide incentives for recipients of assistance to pay home energy costs; and

(2) provide incentives to vendors to help reduce the energy burdens of recipients of assistance.

(C) an assurance that, subject to the methodologies described above, each applicant or nonprofit sub-recipient, as appropriate, will provide a variety of services and benefits, including at least two of the following—

(i) payments to, or on behalf of, individuals eligible for residential energy assistance services and benefits under Section 2605(b) for home energy costs;

(ii) energy efficiency education;

(iii) residential energy demand management services, including any other energy related residential repair and energy efficiency improvements in coordination with, or delivered by, Department of Energy weatherization assistance programs at the discretion of the State;

(iv) family services, such as counseling and needs assessment, related to energy budget management, payment plans, and related services; and

(v) negotiation with home energy suppliers on behalf of households eligible for REACH services and benefits. (See Part IV–B, Sub-Element I(b)).

Given the size of most tribal and small insular territory LIHEAP programs, the Secretary has determined, in accordance with 45 CFR 96.42(a), that REACH applications from tribal and small insular area LIHEAP grantees under Priority Area 2.0 do not have to provide all of the above services.

Project activities should be closely coordinated with the applicant's LIHEAP Program.

and

(D) an assurance that no regulated utility covered by the plan will be required to act in a manner that is inconsistent with applicable regulatory requirements. (See Part IV–B, Element VI)

5. Low-Income Citizen Participation. To be considered for funding, a REACH Plan must include provision for the systematic and regularized solicitation by the grantee of the views of eligible low-income individuals in the community. (See Part IV–B, Sub-Element I(a))

6. Third-Party Project Evaluation. As noted above, the Priority Area 1.0 requirement for a third party evaluation does not apply out to Priority Area 2.0 grantees. However, Priority Area 2.0 REACH Plans must describe the indicators they will use to measure whether their performance goals have been achieved, and they must submit a report summarizing these results at the end of the grant period.

7. Consistency With LIHEAP Legislation. To be funded, a REACH Plan under Priority Area 2.0 must include a demonstration that it is consistent with the following Sections of the Low Income Home Energy Assistance Act, as amended: Section 2603; paragraphs (2), (3), (4), (5), (7),

(10), (11), (12), (13), and (14) of Section 2605(b); Subsections (d), (e), (f), (g), (h), (i), and (j) of Section 2605; and Section 2606.

The definitions in Section 2603 have been incorporated into the definitions in Part I, Section B of this Announcement and will apply to the REACH Initiative. The rest of the cited sections, subsections and paragraphs are set forth in Attachment K to this Announcement.

8. Dissemination of Project Results. Applicants under Priority 2.0 may budget up to \$1,000 for dissemination of project results.

#### Part IV. Reach Plan Elements and Review Criteria

The ultimate goals of the projects to be funded under the REACH Program are to realize significant improvements in the ability of eligible households to meet energy costs and pay home energy bills with regularity, through innovative project interventions which will reduce energy costs and increase the capability of low-income participants to pay; in the case of REACH Projects under Priority Area 1.0, to evaluate the effectiveness of these interventions and of the project design through which they were implemented; and thus to make possible the replication of successful programs. OCS intends to make the awards of all the above grants on the basis of brief, concise REACH Plans. The elements and format of these plans, along with the review criteria that will be used to judge them, will be outlined in this Part.

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

- (1) incorporate each of the Elements and Sub-Elements below into their plans, so as to describe convincingly a project that will develop and implement new and innovative approaches to address critical energy needs or problems of the poor;
- (2) include the required assurances and program activities set forth in Part III, above; and,
- (3) in the case of applications under Priority Area 1.0; test and evaluate such approaches and activities so as to make possible replication of a successful program.

#### *A. Program Elements, Review and Assessment Criteria for REACH Plans under Priority Area 1.0*

This Section has been divided into Two Segments: Segment One made up of Element I (with three Sub-Elements) which should be completed for each different and distinct local REACH Project to be carried out by a CBO Recipient, and must not be more than

ten pages in length; and Segment Two made up of Elements II through VIII, which should be completed only once for the applicant's entire REACH Initiative, and must not be more than twenty pages in length. As explained in Part III-A. 4., Scope of REACH Plan, a State may submit a REACH Plan which proposes one local REACH Project to be implemented by one CBO Recipient; it may submit a Plan in which the same project is proposed to be implemented in several localities by separate CBO Recipients; or it may submit a plan proposing two or more different and distinct Projects, each to be implemented through a separate CBO Recipient. Where a State proposes different and distinct REACH Projects to be carried out by more than one CBO Recipient, the REACH Plan should include, for each of these projects/CBO Recipients a separate Segment One Narrative; where a REACH Plan proposes only one distinct project, to be implemented either in one locality or in several, by either one or more than one CBO Recipient, then the Plan need include only one Segment One narrative.

In order to simplify the application preparation and review process, OCS seeks to keep applications cogent and brief. For each of the Project Elements or Sub-Elements below there is at the end of the discussion a suggested number of pages to be devoted to the particular element or sub-element. These are suggestions only; but the applicant must remember that each Narrative Segment One cannot be more than ten pages in length, and that the single Project Narrative Segment Two, covering Program Elements II through VIII for the overall REACH Initiative, cannot be more than 20 pages in length.

REACH Plans with project narratives (excluding appendices) that exceed these limits will not be reviewed for funding. Project narratives should be on letter-sized pages in 12 c.p.i. type or equivalent on a single side. Applicants should prepare and assemble their project description using the following outline of required project elements. They should, furthermore, build their project concept, plans, and project description upon the guidelines set forth for each of the project elements.

In reviewing REACH Plans for funding, where Plans include more than one narrative Segment One describing a local Project/CBO Recipient, OCS reserves the right to consider each such Project/CBO Recipient on its own merits, and where review scores and other considerations merit, may choose not to fund a particular local Project/CBO Recipient. In such a case, OCS will

negotiate an appropriate budget for the applicant's overall REACH Initiative.

#### Segment One

[Priority Area 1.0 applicants to complete for each local Project/CBO Recipient; each completed Segment (1) limited to ten pages in length]

Element I. Project Theory, Design, and Plan. (Total Weight of 0-30 points in application review.) OCS seeks to learn from the application why and how the project as proposed is expected to lead to significant improvements in individual and family energy self-sufficiency.

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

Applicants are reminded that Part III-A, Section 4, Scope of the REACH Plan under Priority Area 1.0, includes a discussion of those activities which should be included in this element of their REACH Plan.

Sub-Element I(a). Description of Target Population, Analysis of Need, and Project Assumptions. (Weight of 0-10 points in application review.) The logic model begins with identifying the underlying assumptions about the program. These are the beliefs on which the proposed program is built: the assumptions about the needs of the client population to be served; about the current services available to those clients, and where and how they fail to meet their needs; about why the services or interventions proposed in the REACH Plan are appropriate, and will meet those needs; and about the impact the proposed interventions will have on the clients.

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

In this sub-element of the REACH Plan the applicant should precisely



identify the target population to be served. The geographic area to be impacted should then be briefly highlighted, selectively emphasizing the socioeconomic/poverty and other data that are relevant to the project design. This sub-element to the REACH Plan, might include, for instance, data on the building type, condition, and age of low-income housing; the predominant fuel used for home heating; the number and percent of utility shut-offs among low-income energy consumers; climatic conditions; unemployment statistics for the area; the price of fuels; and the demand management services offered by local utilities.

The needs of this target population should then be clearly defined, and the applicant should state its underlying assumptions about how these needs can be addressed by the proposed project.

Applicants must include in this element a brief description of the provision that has been and will be made for the systematic and regular solicitation by CBO Recipients of the views of eligible low-income individuals in the community on the design and implementation of the REACH Project, and the mechanism(s) that will be employed by the applicant and the CBO Recipients to assure their responsiveness to such views in the establishment of the REACH Project. (See Part III-A, Section 5.)

It is suggested that applicants use no more than 4 pages for this narrative sub-element.

*Sub-Element I(b). Project Strategy and Design Framework: Interventions, Outcomes, and Goals.* (Weight of 0–10 points in application review.) To continue with the “logic model”:

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

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

So in this sub-element the applicant should describe the major activities, or interventions, which are to be carried out to address the needs and problems identified in the previous sub-element. And it should discuss the immediate changes, or outcomes, which are expected to result. These are the results expected from each service or intervention immediately after it is provided. For example, a survey of home furnaces for safety and efficiency

might be expected to result in identification of repairs and retrofits that could increase efficiency and lower costs. Or providing energy efficiency education to families in the low income community might be expected to result in modifying behavior of family members so that they would dress more warmly to be more comfortable at a lower thermostat setting, would not leave doors or windows open, would hang curtains over windows, and would use hot water more conservatively, by, for example, installing low-flow shower heads, etc.

At the next level are the intermediate outcomes which result from these immediate changes. Often an intermediate project outcome is the result of several immediate changes resulting from a number of related interventions such as repairs and education. Intermediate project outcomes should be expressed in measurable changes in knowledge, attitudes, behavior, or status/condition. In the above examples, the immediate changes achieved by the home energy survey program could be expected to lead to intermediate outcomes of furnace retrofits and home weatherization. The acquisition of energy conservation skills, coupled with the availability of energy saving devices such as efficient light bulbs or low-flow shower heads, could result in the actual installation of these devices in the home.

Finally, the REACH Plan should describe how the achievement of these intermediate outcomes will be expected to lead to the attainment of the project goals: energy efficient and healthy housing, energy consumption at a level which is affordable for the household, a successful community fuel cooperative that lowers fuel prices, new demand management services, or whatever they may be.

Applicants don't have to use the exact “logic model” terminology described above, but it is important to describe the project in a way that makes clear the expected cause-and-effect relationship between what the project plans to do—the activities or interventions, the changes that are expected to result, and how those changes will lead to achievement of the project goals of greater energy self-sufficiency.

It is suggested that applicants use no more than 4 pages for this design section of the REACH Plan.

*Sub-Element I(c), Work Plan.* (Weight of 0–10 points in the application review.) Once the project strategy and design framework are established, the applicant should present the highlights of a work plan for the project. The plan

should explicitly tie into the project design framework and should be feasible, i.e., capable of being accomplished with the resources, time, staff, and partners available. The plan should briefly describe the key project tasks, and show the timelines and major milestones for their implementation. Critical issues or potential problems that might affect the achievement of project objectives should be explicitly addressed, with an explanation of how they would be overcome, and how the objectives will be achieved notwithstanding any such problems. The plan should be presented in such a way that it can be correlated with the Budget Justification included in the application following the budget forms. (See Element V.)

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

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

## Segment Two

[Priority Area 1.0 applicants to complete once for overall REACH Plan; Segment Two limited to twenty pages in length.]

*Element II. Organizational Experience and Capability.* (Weight of 0 to 10 points in application review.) Applicants should cite the capability and relevant experience of each of the community-based organizations (CBO Recipients) designated to implement the proposed REACH Project in developing and operating programs which deal with poverty problems similar to those to be addressed by the proposed project. Applicants should explain how in their designation they have given priority, as required by the authorizing legislation, to eligible entities described in Section 673 of the Community Services Block Grant Act which have a record of successfully providing service under LIHEAP and which receive funds from the Department of Energy's Weatherization Assistance Program. (See Part III-A, Section I, Eligible Applicants for Priority Area 1.0) The applicant should also cite each such organization's experience in collaborative programming and operations which involve evaluations and data collection. The designated CBO Recipient(s)' capabilities and status in these regards should be established by a letter of certification to that effect by the Applicant, and by the State CSBG Director or the State LIHEAP or Weatherization Program administering agency(ies) where they are not the same. While the proposed project management team will be identified and described elsewhere in the application, applicants



should identify agency executive leadership in this section and briefly describe their involvement in the proposed project and provide assurance of their commitment to its successful implementation.

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

**Element III. Economic Development Strategies, Mobilization of Resources, and Project Innovations.** (Weight of 0 to 10 points in the application review.) Applicants should in this Element explain how its REACH Initiative approaches the energy needs of low-income families within a holistic context of the economic, social, physical, and environmental barriers to achieving self-sufficiency. This should include an explanation of how the proposed project(s) will be integrated with and support a larger economic development strategy within the target community or communities.

Thus REACH Initiatives are expected to be closely coordinated with other public and private sector programs involved with community revitalization, housing rehabilitation and weatherization, and family development; and OCS will give favorable consideration in the application review process to applicants who mobilize cash and/or third-party in-kind contributions for direct use in the REACH Project. Even though there is no matching requirement for the REACH Program, grantees will be held accountable for any match, cash or in-kind contribution proposed or pledged as part of an approved application. (See Part III-A, Section 4(C))

Within the context of this holistic and coordinated plan, applicant should highlight the ways in which the proposed project represents a new and innovative approach or approaches to provide for greater energy self-sufficiency of the poor and/or to deal with particularly critical energy needs or problems of the poor that are common to a number of communities. Innovation can be in the characteristics of the target population to be served, or the needs to be addressed; the kinds of activities, or interventions, that will be carried out; the ways in which they will be carried out; new and different combinations of activities or interventions that will be implemented; or in the settings in which the project will function: e.g., new and innovative types of technologies or institutions in which the project will function.

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

**Element IV. Project Management and Organization.** (Weight of 0 to 10 points in the application review.) While the

experience of agency leadership is important to project success, the caliber of day-to-day project management is critical. Applicants should identify the State Project Coordinator, and key staff including the Project Director(s) in CBO Recipient(s) that will be implementing the project at the local level, and any other staff they feel are especially important to the success of the project, and include resumes as an Appendix to the REACH Plan. Where the staff have not been identified, a position description should be included in the Appendix. The REACH Plan should describe the staff's relevant capabilities for managing this multi-faceted project, with emphasis placed on successful management experience in directing both on-budget and leveraged resources to create community conditions capable of supporting effective interventions and transforming lives. REACH Plans will be assessed, for this element, on the relevant experience, capabilities, commitment and planned level of effort of the Project Coordinator and key staff members as described in the Plan.

Applicants should also, in this section, describe (and diagram if necessary) the organization of the project. The relationships among the State and the participating community-based organizations, the Project Coordinator and the key officials in those organizations, and any other partnering organizations should be depicted, and the project-related responsibilities of these key actors should be made clear.

This element should include a brief description of the crisis and emergency assistance activities the applicant will undertake that are designed to: (1) provide incentives for recipients of assistance to pay home energy costs, and (2) provide incentives to vendors to help reduce the energy burdens of recipients of assistance. (See Part III-A, Section 4 (B))

It is suggested that applicants use no more than 4 pages for this element (not counting the resumes and/or position descriptions, which should be in an Appendix).

**Element V. Project Budget Appropriateness.** (Weight of 0-10 points in the application review.) Applicants will be required to submit Federal forms with their REACH Plans to provide basic applicant and project information (SF 424) and information about how Federal and other project funds will be used (SF 424A). In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Justification, or explanatory budget information. This Budget Justification is not considered a

part of the Project Narrative, and does not count as within the limitation on number of pages; but rather is to be included in the application following the budget forms. Each Applicant must submit one SF 424, one SF 424A, and one Budget Justification in its own name, which cover the entire REACH Initiative, and one SF 424A and Budget Justification for each local CBO Recipient.

The Budget Narrative should briefly explain the adequacy of the Federal funds and other mobilized resources to accomplish project purposes, should explain the source and nature of mobilized resources, and should identify and briefly explain any imbalances between the level of activities undertaken and project funds expended.

Applicants under Priority Area 1.0 may include in the REACH Initiative budget an amount up ten percent (10%) of the total REACH grant for planning, administration, and coordinating costs at the State level during the first project year of the REACH Initiative, and for contracting with a third-party evaluator as defined under Element VI, below, and discussed in Part III-A.6.

Applicants should include funds in the project budget for travel by State and CBO Recipient Project Directors and Chief Evaluators to attend two national evaluation workshops in Washington, D.C., and are encouraged to seek agreement from CBO Recipients to attend also. (See Part IX-B, Attendance at Workshops.)

Note: None of the costs of providing service or benefits under the REACH Program shall be considered to be an administrative cost or function for purposes of any limitation on administrative costs or functions contained in the Low-Income Home Energy Assistance Act of 1981, as amended, 42 U.S.C. 8621 et seq.

**Element VI. Project Evaluation.** (Weight of 0-15 points in the application review.) Sound evaluations are essential to the REACH Program. Applicants are required to include in their applications a well thought through outline of an evaluation plan for their project. The outline should explain how the applicant proposes to answer the key questions about how effectively the project is being/was implemented (the Process Evaluation) and whether and why/why not the project activities, or interventions, achieved the expected outcomes and goals of the project (the Outcome Evaluation). (See Part I, Section B for definitions of process and outcome evaluation, and Part III-A.6. for a discussion of evaluation requirements.)

OCS plans to engage an Evaluation Technical Assistance Contractor which will assist REACH Priority Area 1.0 Grantees and CBO Recipients in the finalization of Evaluation Plans, the establishment of data collection systems, the preparation of Evaluation Reports, and other aspects of project evaluation so as to assure that project evaluations will provide accurate and useful information to those interested in replication.

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

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

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

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

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

For these reasons, the evaluator that the applicant expects to work with should be involved—at least briefly but substantively—in the development of the project design and proposal.

It is suggested that applicants use no more than 4 pages for this element, plus the Resume or Position Description for the evaluator, which should be in an Appendix.

*Element VII. Significant and Beneficial Impact.* (Weight of 0–10 points in the application review.) OCS seeks, with the REACH Program, to support innovative approaches that will create significant benefits for low-income energy consumers, their families, and their communities. Accordingly, it intends to make grants that have a strong likelihood of creating beneficial impacts both within the project communities and, through wide dissemination of useful project results and findings, in other communities facing similar challenges.

The proposed project is expected to lead to tangible achievements toward reducing household energy burdens on the poor and increasing their ability to pay for the household energy they need. As a result, the project should lead to verifiable reductions in homelessness and health and safety risks associated with high energy costs that are beyond the resources of low income families in the targeted community(ies). Applicants should summarize, in this section, the beneficial impacts that they propose to make in that community, their expectations for the continuation of those benefits beyond the project's life, and the kind of information that they expect to share with OCS and the social service/community development fields from their pilot project. Project proposals will be assessed, for this element, on the likely value of the project to the target community over time—given the proposed outcomes and the likelihood that they will be realized—and to the larger community of LIHEAP and CSBG grantees across the nation.

Applicants should include in this element a brief assurance that no regulated utility covered by the REACH Plan will be required to act in a manner that is inconsistent with applicable regulatory requirements. (See Part III–A, Section 4(D))

It is suggested that applicants use no more than 2 pages for this element. The score for this element will be based to some extent on the coherence and feasibility of the entire REACH Plan.

*Element VIII. Community Empowerment Consideration.* (Weight of 0–5 points in application review.) Special consideration will be given to applicants whose proposed REACH Projects will be located in areas which are characterized by severe poverty and other indicators of socio-economic distress such as a poverty rate of at least

20%, designation as an Empowerment Zone or Enterprise Community, high levels of unemployment, and a high incidence of violence, gang activity, crime, or drug use. If such is the case, applicants should document that they or their proposed CBO Recipients were involved in the preparation and planned implementation of a comprehensive community-based strategic plan to achieve both economic and human development in an integrated manner and how the proposed project supports the goal(s) of that plan. (See Part III–A, Section 3 and Section 4(C))

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

#### *B. Special Program Elements, Review and Assessment Criteria for REACH Plans Under Priority Area 2.0*

In order to simplify the application preparation and review process, OCS seeks to keep grant applications cogent and brief. For each of the Project Elements or Sub-Elements below there is at the end of the discussion a suggested number of pages to be devoted to the particular element or sub-element. These are suggestions only; but the applicant must remember that Project Narratives must not be more than twenty (20) pages in length.

REACH Plans with project narratives (excluding appendices) that exceed these limits will not be reviewed for funding. Project narratives should be on letter-sized pages in 12 c.p.i. type or equivalent on a single side. Applicants should prepare and assemble their project description using the following outline of required REACH Plan elements. They should, furthermore, build their project concept, plans, and project description upon the guidelines set forth for each of the elements.

*Element I. Project Theory, Design, and Plan.* (Total Weight of 0 to 50 points in application review.) OCS seeks to learn from the application why and how the project as proposed is expected to lead to significant improvements in individual and family energy self-sufficiency.

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

Applicants under Priority Area 2.0 are not required to carry out REACH activities through community-based organizations (CBO Recipients), but may implement REACH Plans directly themselves. However, as explained in Part II B, Budget Periods, above, applicants electing to implement their REACH Projects directly will be limited to projects of one year duration (Project and Budget Periods of one year only). Applicants under Priority Area 2.0 may also elect to operate their projects through grants or contracts to nonprofit organizations. In such cases the nonprofit organization does not have to be a community based organization (CBO) as defined in Part I. If they choose to operate their projects through nonprofit organizations, the Project and Budget Periods applicable to Priority Area 1.0 will apply. Note also that applicants under Priority 2.0 need only include two of the REACH Program activities listed in Part III B, Section 4.(C) under Scope of the Priority Area 2.0 REACH Plan.

*Sub-Element I(a). Description of Target Population, Analysis of Need, and Project Assumptions.* (Weight of 0 to 20 points in application review.) This sub-element should be the same as under Priority Area 1.0 and it is suggested that it take no more than 4 pages of the Project Narrative.

*Sub-Element I(b). Project Strategy and Design Framework: Interventions, Outcomes, and Goals.* (Weight of 0 to 20 points in application review.) This sub-element should be the same as under Priority Area 1.0 and it is suggested that it take no more than 4 pages of the Project Narrative.

*Sub-Element I(c). Work Plan.* (Weight of 0 to 10 points in the application review.) This sub-element should be the same as under Priority Area 1.0 and it is suggested that it take no more than 2 pages of the Project Narrative.

**Element II. Organizational Experience and Capability.** (Weight of 0 to 10 points in application review.) Applicants should cite their capability and relevant experience in developing and operating programs which deal with energy and poverty problems similar to those to be addressed by the proposed project. While the proposed project management team will be identified and described below in Element III, applicants should identify organization executive leadership in this section and briefly describe their involvement in the proposed project and provide assurance of their commitment to its successful implementation.

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

**Element III. Project Management and Organization.** (Weight of 0 to 10 points in the application review.) While the experience of agency leadership is important to project success, the caliber of day-to-day project management is critical. Applicants should identify key staff, including the Project Director, who will be implementing the project, and any other staff they feel are especially important to the success of the project. Resumes should be included as an Appendix to the REACH Plan. Where the staff have not been identified, a position description should be included in the Appendix. REACH Plans will be assessed, for this element, on the relevant experience, capabilities, commitment and planned level of effort to the project of the Project Director and key staff members as described in the Plan.

It is suggested that applicants use no more than 2 pages for this element (plus the resumes and/or position descriptions which should be in an Appendix).

**Element IV. Project Budget Appropriateness.** (Weight of 0–10 points in the application review.) Applicants will be required to submit Federal forms with their REACH Plans to provide basic applicant and project information (SF–424) and information about how Federal and other project funds will be used (SF–424A). Where Priority Area 2.0 applicants elect to have REACH services provided through a nonprofit organization sub-recipient, an SF–424A must be completed for the applicant, and another SF–424A must be completed for the nonprofit organization sub-recipient. The sub-recipient SF–424A should include budget information for all three years of the project period, divided into three separate budget periods as explained in Part VII and the instructions accompanying the forms. In addition to and immediately following the completed Federal budget forms, applicants must submit a Budget Justification, or explanatory budget information for the first 12-month budget period. Again, where a Priority Area 2.0 applicant elects to implement the REACH project services through a nonprofit sub-recipient, a Budget Justification should be included for the sub-recipient, covering the full three year project budget. The Budget Justification is not considered a part of the Project Narrative, and does not count as part of the twenty page limit; but rather is included in the application following the budget forms.

The Budget Justification should briefly explain the adequacy of the Federal funds and other mobilized

resources to accomplish project purposes, should explain the source and nature of any mobilized resources.

Applicants should include funds in the project budget for travel by the Project Director to attend an orientation workshop in Washington, D.C.

Note: None of the costs of providing service or benefits under the REACH Program shall be considered to be an administrative cost or function for purposes of any limitation on administrative costs or functions contained in the Low-Income Home Energy Assistance Act of 1981, as amended, 42 U.S.C. 8621 et seq.

**Element V. Project Evaluation.** (Weight of 0–10 points in the application review.) As noted in Part III above, REACH grantees under Priority Area 2.0 will not be required to carry out a third-party evaluation of their projects. However, their REACH Plans must describe the indicators they will use to measure whether the performance goals of their project have been achieved. It is suggested that applicant use no more than 1 page for this Element.

**Element VI. Significant and Beneficial Impact.** (Weight of 0–10 points in the application review.) This element should be the same as under Priority Area 1.0 and it is suggested that it take no more than 3 pages of the Application Narrative.

#### Part V—Quality Standards for Energy Efficiency Education Services Plans

The REACH authorizing legislation includes a section which describes a separate Energy Efficiency Education Services program which applicants may include in their REACH Initiative. Those applicants which include this program in their REACH Initiative must submit separate Energy Efficiency Education Services Plans; and if they meet the quality standards set forth below, and have the potential for being replicable model designs for other programs, are eligible for supplemental payments as outlined in Part II C. This Part sets out the Quality Standards for Energy Efficiency Education Services Plans.

Section 2607B(b)(2) of the REACH authorizing legislation provides for a reservation of funds by the Secretary to make additional payments to qualifying REACH applicants that have energy efficiency education services plans that meet quality standards established in consultation with the Secretary of Energy, and have the potential for being replicable model designs for other programs. This Part sets forth those standards. As explained in Part II above, those REACH applicants under Priority Area 1.0 that are selected to receive

REACH grants will receive an additional amount of \$100,000, and REACH applicants under Priority Area 2.0 will receive an additional \$25,000, for the same project and budget periods, if they have submitted, as an appendix to their REACH Plans, an Energy Efficiency Education (EEE) Services Plan that has the potential for being a replicable model design for other programs and meets the following quality standards:

#### A. Purpose

The Plan should state the purpose of the proposed EEE services, which should be generally consistent with and include the following goals: to assist low-income households, especially those with high energy burdens, to use energy efficiently, to reduce their home energy costs, to minimize health and safety risks within their homes, to increase their indoor comfort level, and to maintain their highest possible level of energy self-sufficiency.

#### B. Target Population

The Plan should identify a target population for the EEE services which includes LIHEAP recipients and at least some who have received services from the Weatherization Assistance Program, and others consistent with the stated purpose and goals of the program. The Plan should include assurances that the defined target population is one from whom data on energy usage and costs before and after receipt of the EEE services will be available, and should indicate how such data will be collected.

#### C. Needs Assessment and Project Design Process

The Plan should describe the needs assessment that the applicant has undertaken or will undertake among the target population, how the design of the EEE Services Program will respond to the needs identified (see Paragraph D, below), and how the EEE Program priorities have been or will be determined by the needs discovered.

#### D. Service Delivery

(1) Setting: the Plan should indicate the setting or settings—in-office instruction (e.g. at time of initial intake), workshops, or home visits—in which the EEE services will be delivered, and project the number of service units planned for each.

(2) Services: the Plan should identify the types of services to be delivered and how—whether by lecture, audio-visual media, written materials, hands on experience, or other educational technique—and if appropriate, which

services are planned to be used in which of the identified settings.

#### E. Relation of Services to Changes, of Changes to Outcomes, and of Outcomes to Goals (a "Logic Model")

The Plan should briefly set forth each EEE service planned (e.g. a demonstration and discussion on air infiltration), the immediate changes expected to result from delivery of the service (e.g. a better understanding of the importance of stopping infiltration), the intermediate outcomes expected to result from the changes (e.g. action by the client to stop infiltration in their dwelling), and how these changes and outcomes will be expected to achieve a program goal (e.g. reduced energy consumption). This exact terminology need not be used in the Plan; but the cause and effect relationship between the EEE services planned and the achievement of program goals should be briefly explained. This part of the Plan should include provision for the development with EEE service recipients of an Action Plan through which the recipient will make a commitment to take actions based on the EEE information received; and it should also include a provision for reinforcement of the commitment through follow-up activities by the grantee or other "interventions".

#### F. Evaluation

The EEE Services Plan submitted by applicants under Priority Area 1.0 should provide for the inclusion of an Evaluation of the Energy Efficiency Education Services Program as a part of the Evaluation Plan Outline for the overall REACH Initiative. It should provide for Process and Outcome Evaluations, and should describe what data will be collected and how it will relate to the achievement of EEE program goals. The EEE portion of the evaluation plan outline should make specific provision for consumer evaluation of the EEE service program interventions; and should conclude with a commitment from the grantee to revise and improve its EEE program in response to the overall evaluation where appropriate.

For applicants under Priority Area 2.0, the EEE Services Plan should provide assurances that the applicant will: (1) provide for consumer evaluation of the EEE Services program, and (2) revise and improve its EEE program in response to such evaluation, where appropriate.

The EEE Services Plan, if included, should be an Appendix to the Applicant's REACH Plan, and should not exceed ten pages in length.

### Part VI. Application Procedures

#### A. Availability of Forms

Attachments B through J contain all of the standard forms necessary for the application for awards under this OCS program. These attachments and Parts VI and VII of this Notice contain all the instructions required for submittal of applications.

Additional copies of this Notice may be obtained by writing or telephoning the office listed under the section entitled **FOR FURTHER INFORMATION CONTACT** at the beginning of this announcement. In addition, this Notice is accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. For assistance in accessing the Bulletin Board, a Guide to Accessing and Downloading is available from Ms. Minnie Landry at (202) 401-5309.

#### B. Application Submission

1. Number of Copies Required. One signed original REACH Plan and four copies should be submitted. Applicants have the option to omit from copies to be made available to non-Federal reviewers the specific salary rates or amounts for individuals identified in the application budget. Rather, only summary information is required in these copies.

2. Acknowledgment of Receipt. All applicants will receive an acknowledgement with an assigned identification number. Applicants are requested to supply a self-addressed mailing label with their State Plan which can be attached to this acknowledgement. The assigned identification number, along with any other identifying codes, must be referenced in all subsequent communications concerning the State Plan. If an acknowledgement is not received within three weeks after the deadline date, please notify ACF by telephone at (202) 401-9365.

3. Deadline: Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services, Division of Community Demonstration Programs, 370 L Enfant Promenade, S.W., Washington, D.C. 20447; Attention: Application for REACH Program. Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date.

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

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

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

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

#### C. Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, Public Law 104-13, as amended, the Department is required to submit to OMB for review and approval any reporting and record keeping requirements in regulations, including program announcements. This program announcement does not contain information collection requirements beyond those approved for ACF grant applications under OMB Control Number 0970-0139.

#### D. Application Consideration

Applications which meet the screening requirements in Section E below will be reviewed competitively. Such applications will be referred to reviewers for a numerical score and explanatory comments based solely on responsiveness to the Legislative Authority, the Requirements outlined in Part III, and the Application Elements and Review Criteria set forth in Part IV of this Announcement.

The results of these reviews will assist the Director and OCS program staff in

considering competing applications. Reviewers' scores will weigh heavily in funding decisions but will not be the only factors considered. Applications will be considered in rank order of the averaged scores. However, highly ranked applications are not guaranteed funding since other factors are taken into consideration, including, but not limited to: the timely and proper completion of projects funded with OCS funds granted in the last (5) 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 disallowances on OCS or other Federal agency grants.

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

#### E. Criteria for Screening Applications

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:

1. Eligibility: The applicant must be an "eligible applicant" as defined in Part III-A, Section 1 or Part III-B, Section 1. Applicants must also be aware that the applicant's legal name as required on the SF-424 (Item 5) must match that listed as corresponding to the Employer Identification Number (Item 6).

2. The application must contain a Standard Form 424 "Application for Federal Assistance" (SF-424), signed by an official of the organization applying for the grant who has authority to obligate the organization legally; one budget form (SF-424A) covering the entire REACH Project, and one SF-424A for each CBO Recipient (or nonprofit sub-recipient in the case of Priority Area 2.0 applicants electing to delegate their REACH Projects) and signed "Assurances" (SF-424B) completed according to instructions published in Part VII and Attachment D to this Announcement.

3. A project narrative must also accompany the standard forms, and, for Priority Area 1.0, must be limited to no more than ten (10) pages for Narrative Segment One and twenty (20) pages for Narrative Segment Two; and for Priority Area 2.0, must be limited to no more than twenty (20) pages. Narratives must

be typewritten on one side of the paper only, in type no smaller than 12 c.p.i., 11 point, or equivalent, with margins no less than one inch. Charts, exhibits, letters of support, cooperative agreements, resumes and position descriptions are not counted against this page limit and should be included in the appendices to the proposal. It is strongly recommended that applicants follow the format for the narrative discussed in Part IV, REACH Plan Elements and Review Criteria.

#### Part VII—Instructions for Completing Application Forms

The standard forms attached to this announcement shall be used to apply for funds under this program announcement.

It is suggested that you reproduce single-sided copies of the SF-424 and SF-424A, and type your application on the copies. Please prepare your application in accordance with instructions provided on the forms (Attachments B and C) as modified by the OCS specific instructions set forth below:

##### A. SF-424—Application for Federal Assistance

One SF-424 to be completed by applicant. Top of Page. Where the applicant is a previous Department of Health and Human Services grantee, enter the Central Registry System Employee Identification Number (CRS/EIN) and the Payment Identifying Number, if one has been assigned, in the Block entitled Federal Identifier located at the top right hand corner of the form (third line from the top).

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

Item 7. Enter "A" in the box for State. If applicant is an Indian Tribe enter "K" in the box for Indian Tribe.

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

Item 10. The Catalog of Federal Domestic Assistance number for OCS programs covered under this announcement is 93.568. The title is "LIHEAP/REACH".

Item 11. Enter a brief descriptive title of the project.

Item 13. Proposed Project—The project start date must begin on or before September 30, 1996; the ending date should be calculated on the basis of a 12-month or 36-month Project Period, whichever is applicable.

Item 15a. This amount should be no greater than \$1,500,000 for applications under Priority Area 1.0; no greater than

\$150,000 for applications under Priority Area 2.0.

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

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

One SF-424A completed for applicant, covering entire REACH Project, and one SF-424A to be completed for each CBO Recipient (or nonprofit sub-recipient in the case of Priority Area 2.0 applicants electing to delegate their REACH Projects).

In completing these sections, the Federal Funds budget entries will relate to the requested OCS funds only, and Non-Federal will include mobilized funds from all other sources—applicant, state, local, and other. Federal funds other than requested OCS funding should be included in Non-Federal entries.

Sections A, B, and C of SF-424A should reflect budget estimates for each year of the Project Period.

Section A—Budget Summary. You need only fill in lines 1 and 5 (with the same amounts)

Col. (a): Enter "LIHEAP/REACH."

Col. (b): Catalog of Federal Domestic Assistance number is 93.568.

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

Column (e)–(g): enter the appropriate amounts (column e should not be more than \$1,500,000 for applications under Priority Area 1.0; or more than \$150,000 for applications under Priority Area 2.0).

Section B—Budget Categories. (1) For applicants, a single SF-424A covering entire REACH Project: complete a one-year budget in accordance with the instructions provided, entering the amount of grant or contract to CBO Recipient(s) or nonprofit sub-recipient under the Object Class Category "Contractual".

(2) For CBO Recipients (or nonprofit sub-recipients in the case of Priority Area 2.0 applicants), an SF-424A to be completed for each, covering the full three year project as follows:

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

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

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

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

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

Column 4: Leave blank.

Column 5: Enter the total federal OCS grant funds for the three year budget by

Class Categories, showing a total budget of not more than \$1,500,000.

Note: With regard to Class Categories, only out-of-town travel should be entered under Category c. Travel. Local travel costs should be entered under Category h. Other. Costs of supplies should be included under Category e. "Supplies" is tangible personal property other than "equipment". "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for financial statement purposes, or (b) \$5,000. (ref.: OMB Circular A-87) In other words, unless the level established under (a) is less than \$5,000, equipment costing less than \$5,000 should be included in Category e. Supplies.

Section C—Non Federal Resources should be completed in accordance with the instructions provided, remembering that "all non-OCS funds" fall in this category.

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

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

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

One SF-424B to be submitted by applicant. Applicants requesting financial assistance for a non-construction project must file the Standard Form 424B, "Assurances: Non-Construction Programs."

Applicants must sign and return the Standard Form 424B with their applications.

Applicants must provide a certification concerning Lobbying. Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification. Applicants must sign and return the certification with their applications. Applicants should note that the Lobbying Disclosure Act of 1995 has simplified the lobbying information required to be disclosed under 31 USC 1352 (The Byrd Amendment).

Applicants must make the appropriate certification on their compliance with the Drug-Free Workplace Act of 1988 and the Pro-Children Act of 1994 (Certification Regarding Smoke Free Environment). By signing and submitting the applications, applicants are providing the certification and need not mail back the certification with the applications.

Applicants must make the appropriate certification that they are not presently

debarred, suspended or otherwise ineligible for award. By signing and submitting the applications, applicants are providing the certification and need not mail back the certification with the applications.

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

**Part VIII—Contents of Reach Plan**

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

1. *An Abstract of the plan*—very brief, not to exceed 250 words, that would be suitable for use in an announcement that the application has been selected for a grant award; which identifies the type of project(s), the target population, the CBO Recipient(s) (in the case of Priority Area 1.0 applicants), and the nonprofit organization sub-recipient (in the case of Priority Area 2.0 applicants electing to delegate their REACH Project), and the major elements of the work plan(s).

2. *Table of Contents;*

3. *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.

[Note: The original SF-424 must bear the original signature of the authorizing representative of the applicant organization].

4. *A single Budget Information—Non-Construction Programs (SF-424A)* for the applicant, covering the entire REACH Project; and separate SF-424A forms for each CBO Recipient or nonprofit sub-recipient as appropriate;

5. *A narrative budget justification* for each object class category included under Section B, for each SF-424A;

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

7. *Restrictions on Lobbying—Certification for Contracts, Grants, Loans, and Cooperative Agreements:* fill out, sign and date form found at Attachment G;

8. *Disclosure of Lobbying Activities, SF-LLL:* Fill out, sign and date form found at Attachment H, if appropriate (omit Items 11–15 on the SF LLL and ignore references to continuation sheet SF-LLL-A)

9. *A project narrative*, limited to the number of pages specified below, which includes all of the required elements described in Part IV; [Specific information/data required under each

component is described in Part IV Application Elements and Review Criteria].

For Plans submitted under Priority Area 1.0, the total number of pages for Segment One of the Project Narrative(s) dealing with Element I, Project Theory, Design, and Plan, must not exceed 10 pages for each such narrative submitted for a specific local project; and Segment Two of the narrative dealing with Elements II through VII must not exceed 20 pages, excluding Appendices. The Project Narratives for Plans submitted under Priority Area 2.0 must not exceed 20 pages in length. Plans for supplemental EEE Services should not exceed 10 pages in length. (See Part V) Plans must be typewritten on one side of the paper only, in type no smaller than 12 c.p.i., 11 point, or equivalent, with margins no less than one inch. Pages should be numbered sequentially throughout the application package, excluding Appendices, beginning with the Abstract as Page #1.

10. *Appendices*, including Maintenance of Effort Certification (See Attachment J); Letter(s) of Agreement from designated CBO Recipients (or nonprofit sub-recipients, as appropriate) through which project will be implemented; resumes and/or position descriptions (see Program Element IV); Certification Regarding Lobbying, if appropriate; and any letters from cooperating or partnering agencies in target communities. Such letters are not part of the narrative and should be included in the Appendices. These letters are, therefore, not counted against the page limitations.

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

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

## Part IX—Post-Award Information and Reporting Requirements

### A. Notification of Grant Award

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

### B. Attendance at Workshops

Project coordinators, Project Directors at the local CBO Recipient(s), and chief evaluators (in the case of REACH Initiatives funded under Priority Area 1.0) and Project Directors (in the case of REACH Initiatives funded under Priority Area 2.0) are encouraged to attend a national REACH Orientation workshop in Washington, D.C. scheduled during the first six months of the Project Period. They are also encouraged to attend, as presenters, a workshop on utilization and dissemination to be held at the end of the project period. Project budgets should include funds for travel to and attendance at these workshops. (See Part IV, Element V, Budget Appropriateness)

### C. Reporting Requirements

Grantees will be required to submit semi-annual program progress and financial reports (SF 269) throughout the project period, as well as a final program and financial report within 90 days of the termination of the project. For REACH Projects under Priority Area 1.0 an interim evaluation report, along with the written policies and procedures resulting from the process evaluation, will be due 30 days after the first eighteen months of the project period and a final evaluation report will be due 90 days after the expiration of the grant. These reports will be submitted in accordance with instructions to be provided by OCS, and will be the basis for the dissemination effort to be conducted by the Office of Community Services.

### D. Audit Requirements

Grantees are subject to the audit requirements in Section 2605B(10) of the Low Income Home Energy Assistance Act of 1981, as amended, 42 U.S.C. 8621 et seq.

## E. Prohibitions and Requirements With Regard to Lobbying

Section 1352 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 subtier 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 subgrantees will pay with profits or *nonappropriated* 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 Attachments H and I for certification and disclosure forms to be submitted with the applications for this program.

## F. Applicable Federal Regulations

Attachment L indicates the regulations which apply to all applicants/grantees under the REACH Program.

Dated: June 19, 1996.

Donald Sykes,

Director, Office of Community Services.

## ATTACHMENT A—1996 POVERTY GUIDELINES FOR THE 48 CONTIGUOUS STATES AND THE DISTRICT OF COLUMBIA

Size of family unit	Poverty guideline
1 .....	\$7,740
2 .....	10,360
3 .....	12,980
4 .....	15,600
5 .....	18,220
6 .....	20,840
7 .....	23,460
8 .....	26,080



ATTACHMENT A—1996 POVERTY  
GUIDELINES FOR THE 48 CONTIG-  
UOUS STATES AND THE DISTRICT OF  
COLUMBIA—Continued

Size of family unit	Poverty guideline
---------------------	----------------------

For family units with more than 8 mem-  
bers, add \$2,226 for each additional mem-  
ber. (The same increment applies to smaller  
family sizes also, as can be seen in the fig-  
ures above.)

1996 POVERTY GUIDELINES FOR  
ALASKA

Size of family unit	Poverty guideline
1 .....	\$9,660
2 .....	12,940
3 .....	16,220
4 .....	19,500
5 .....	22,780
6 .....	26,060
7 .....	29,340
8 .....	32,620

For family units with more than 8 mem-  
bers, add \$3,280 for each additional mem-  
ber. (The same increment applies to smaller  
family sizes also, as can be seen in the fig-  
ures above.)

1996 POVERTY GUIDELINES FOR  
HAWAII

Size of family unit	Poverty guideline
1 .....	\$8,910
2 .....	11,920
3 .....	14,930
4 .....	17,940
5 .....	20,950
6 .....	23,960
7 .....	26,970
8 .....	29,980

For family units with more than 8 mem-  
bers, add \$3,010 for each additional mem-  
ber. (The same increment applies to smaller  
family sizes also, as can be seen in the fig-  
ures above.)

## Attachment B

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

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

Previous Editions Not Usable

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

Authorized for Local Reproduction

## Instructions for the SF 424

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

## Item and Entry

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

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

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

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

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

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**Attachment C

SECTION A — BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$
SECTION B — BUDGET CATEGORIES						
GRANT PROGRAM, FUNCTION OR ACTIVITY						
6 Object Class Categories	(1)	(2)	(3)	(4)	Total (5)	
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	

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Standard Form 424A (4-88)

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

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## Instructions for the SF-424A

*General Instructions*

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

*Section A. Budget Summary*

Lines 1-4, Columns (a) and (b)

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

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

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

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

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

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

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

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increases 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.

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

Line 6j—Show the amount of indirect cost.

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

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

*Section C. Non-Federal Resources*

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

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

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

Column (c)—Enter the amount of the State's cash and in-kind contributions 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 of Lines 13 and 14.

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

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

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

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

*Section F. Other Budget Information*

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

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

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

*Attachment D—Assurances—Non-Construction Programs*

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

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

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

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

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

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

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

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

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

(e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other

nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 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 with the provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 1988; (e) assurances of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of

underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93–205).

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

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

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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

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

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Signature of authorized certifying official

---

Title

Applicant organization

---

Date submitted

BILLING CODE 4184–01–P



## Attachment E

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

DGMO Form#2 Revised May 1990

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

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

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

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

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

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

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

(To Be Supplied to Lower Tier Participants)

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

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

(b) where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

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

#### Attachment G—Certification Regarding Lobbying

##### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant,

loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

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

#### State for Loan Guarantee and Loan Insurance

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

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

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

Signature

Title

Organization

Date

BILLING CODE 4184-01-P

Attachment H

**DISCLOSURE OF LOBBYING ACTIVITIES**Approved by OMB  
0348-0046Complete 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> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity</b> (if individual, last name, first name, MI):  <div style="text-align: right;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):  <div style="text-align: right;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>   <div style="text-align: right;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>16. 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.</b>		
<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____		
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL

Attachment I—Certification Regarding Environmental Tobacco Smoke

Public Law 103–227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the 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 \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

Attachment J—Certification Regarding Maintenance of Effort

The undersigned certifies that:

(1) activities funded under this program announcement are in addition to, and not in substitution for, activities previously carried on without Federal assistance.

(2) funds or other resources currently devoted to activities designed to meet the needs of the poor within a community, area, or State have not been reduced in order to provide the required matching contributions.

When legislation for a particular block grant permits the use of its funds as match, the applicant must show that it has received a real increase in its block grant allotment and must certify that other anti-poverty programs will not be scaled back to provide the match required for this project.

Organization
Authorized Signature
Title
Date

Attachment K—Low-Income Home Energy Assistance Act of 1981, Omnibus Budget Reconciliation Act of 1981  
[Public Law 97–35, August 13, 1981, as amended (95 Stat. 357)]

\* \* \* \* \*

Title XXVI—Low-Income Home Energy Assistance

*Short Title*  
Sec. 2601

This title may be cited as the “Low-Income Home Energy Assistance Act of 1981”

*Applications and Requirements*  
Sec. 2605

\* \* \* \* \*

(b) As part of the annual application required by subsection (a), the chief executive officer of each State shall certify that the State agrees to—

\* \* \* \* \*

- (2) make payments under this title only with respect to—
- (A) households in which 1 or more individuals are receiving—
- (i) aid to families with dependent children under the State’s plan approved under part A of title IV of the Social Security Act (other than such aid in the form of foster care in accordance with section 408 of such Act);
- (ii) supplemental security income payments under title XVI of the Social Security Act;
- (iii) food stamps under the Food Stamp Act of 1977; or
- (iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans’ and Survivors’ Pension Improvement Act of 1978; or
- (B) households with incomes which do not exceed the greater of—
- (i) an amount equal to 150 percent of the poverty level for such State; or
- (ii) an amount equal to 60 percent of the State median income;

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income;

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and

Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses (2)(A) and (2)(B) of this subsection;

(6) if the State chooses to pay home energy suppliers directly, establish procedures to—

- (A) notify each participating household of the amount of assistance paid on its behalf;
- (B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendored payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the “Single Audit Act”);

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness;

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610;

- \* \* \* \* \*
- (d) The State shall expend funds in accordance with the State plan under this title or in accordance with revisions applicable to such plan.
- (e) Each State shall, in carrying out the requirements of subsection (b)(10), obtain

financial and compliance audits of any funds which the State receives under this title. Such audits shall be made public within the State on a timely basis. The audits shall be conducted in accordance with chapter 75 of title 31, United States Code.

(f)(1) Notwithstanding any other provision of law unless enacted in express limitation of this paragraph, the amount of any home energy assistance payments or allowances provided directly to, or indirectly for the benefit of, an eligible household under this title shall not be considered income or resources of such household (or any member thereof) for any purpose under any Federal or State law, including any law relating to taxation, food stamps, public assistance, or welfare programs.

(2) For purposes of paragraph (1) of this subsection and for purposes of determining any excess shelter expense deduction under section (5)(e) of the Food Stamp Act of 1977 (7 U.S.C. 1414(e))—

(A) the full amount of such payments or allowances shall be deemed to be expended by such household for heating or cooling expenses, without regard to whether such payments or allowances are provided directly to, or indirectly for the benefit of, such household; and

(B) no distinction may be made among households on the basis of whether such payments or allowances are provided directly to, or indirectly for the benefit of, any of such households.

(g) The State shall repay to the United States amounts found not to have been expended in accordance with this title or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under this title.

(h) The Comptroller General of the United States shall, from time to time (but not less frequently than every three years), evaluate the expenditures by States of grant under this title in order to assure that expenditures are consistent with the provisions of this title and to determine the effectiveness of the State in accomplishing the purposes of this title.

(i) A household which is described in subsection (b)(2)(A) solely by reason of clause (ii) thereof shall not be treated as a household described in subsection (b)(2) if the eligibility of the household is dependent upon—

(1) an individual whose annual supplemental security income benefit rate is reduced pursuant to section 1611(e)(1) of the Social Security Act by reason of being in an institution receiving payments under title XIX of the Social Security Act with respect to such individual;

(2) an individual to whom the reduction specified in section 1612(a)(2)(A)(1) of the Social Security Act applies; or

(3) a child described in section 1614(f)(2) of the Social Security Act who is living together with a parent, or the spouse of a parent, of the child.

(j) In verifying income eligibility for purposes of subsection (b)(2)(B), the State may apply procedures and policies consistent with procedures and policies used by the State agency administering programs under part A of title IV of the Social Security

Act, under title XX of the Social Security Act, under subtitle B of title VI of this Act (relating to community services block grant program), under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act, or under other income assistance or service programs (as determined by the State).

#### *Nondiscrimination Provisions*

##### *Sec. 2606*

(a) No person shall on the ground of race, color, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with funds made available under this title. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to an otherwise qualified handicapped individual as provided in section 504 of the Rehabilitation Act of 1973 also shall apply to any such program or activity.

(b) Whenever the Secretary determines that a State that has received a payment under this title has failed to comply with subsection (a) or an applicable regulation, he shall notify the chief executive officer of the State and shall request him to secure compliance. If within a reasonable period of time, not to exceed 90 days, the chief executive officer fails or refuses to secure compliance, the Secretary is authorized to (1) refer the matter to the Attorney General with a recommendation that an appropriate civil action be instituted; (2) exercise the powers and functions provided by title VI of the Civil Rights Act of 1964, the Age Discrimination Act of 1975, or section 504 of the Rehabilitation Act of 1973, as may be applicable; or (3) take such other action as may be provided by law.

(c) When a matter is referred to the Attorney General pursuant to subsection (b), or whenever he has reason to believe that the State is engaged in a pattern or practice in violation of the provisions of this section, the Attorney General may bring a civil action in any appropriate United States district court for such relief as may be appropriate, including injunctive relief.

(42 U.S.C. 8625)

## **PART 96—BLOCK GRANTS**

### **Subpart A—Introduction**

#### *Sec.*

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96.2 Definitions.

96.3 Information collection approval numbers.

### **Subpart B—General Procedures**

96.10 Prerequisites to obtain block grant funds.

96.11 Basis of award to the States.

96.12 Grant payment.

96.13 Reallotments.

96.14 Time period for obligation and expenditure of grant funds.

96.15 Waivers.

96.16 Applicability of Title XVII of the Reconciliation Act (31 U.S.C. 7301–7305).

96.17 Annual and biennial reporting deadlines.

### **Subpart C—Financial Management**

96.30 Fiscal and administrative requirements.

96.31 Audits.

96.32 Financial settlement.

96.33 Referral of cases to the Inspector General.

### **Subpart D—Direct Funding of Indian Tribes and Tribal Organizations**

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96.41 General determination.

96.42 General procedures and requirements.

96.43 Procedures during FY 1982.

96.44 Community services.

96.45 Preventive health and health services.

96.46 Alcohol and drug abuse and mental health services.

96.47 Primary care.

96.48 Low-income home energy assistance.

### **Subpart E—Enforcement**

96.50 Complaints.

96.51 Hearings.

96.52 Appeals.

### **Subpart F—Hearing Procedure**

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96.61 Initiation of hearing.

96.62 Presiding officer.

96.63 Communications to presiding officer.

96.64 Intervention.

96.65 Discovery.

96.66 Hearing procedure.

96.67 Right to counsel.

### **Subpart G—Social Services Block Grants**

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96.71 Definitions.

96.72 Transferability of funds.

96.73 Sterilization.

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96.82 Required report.

96.83 Increase in maximum amount that may be used for weatherization and other energy related home repair.

96.84 Miscellaneous.

96.85 Exemption from requirement for additional outreach and intake services.

96.86 Exemption from requirement for additional outreach and intake services.

96.87 Leveraging incentive program.

96.88 Administrative costs.

96.89 Exemptions from standards for providing energy crisis intervention assistance.

### **Attachment M**

In view of the numerous legislative requirements of the REACH Program as to elements and assurances in the REACH Plan, the following "REACH Plan Elements and Assurances Checklist" has been prepared as Attachment L, for the assistance of applicants under Priority Areas 1.0 and 2.0.

*REACH Plan Elements and Assurances Checklist*

A. Service delivery through community-based nonprofit entity. (For applicants under Priority Area 1.0 only.)

[Include in Plan Elements I, II, and IV]

B. Priority given to CSBG eligible entities that are successful LIHEAP service providers and receive Weatherization Assistance Program funds from the Department of Energy. (For applicants under Priority Area 1.0 only.)

[Include in Plan Element II and attach letter(s) of certification as described therein]

C. Each CBO Recipient to provide a variety of services, to include:

(i) payments to, or on behalf of, individuals eligible for residential energy assistance services and benefits under section 2605(b) for home energy costs;

(ii) energy efficiency education;

(iii) residential energy demand management services, including any other energy related residential repair and energy efficiency improvements in coordination with, or delivered by, Department of Energy weatherization assistance programs at the discretion of the State;

(iv) family services, such as counseling and needs assessment, related to energy budget management, payment plans, and related services; and

(v) negotiation with home energy suppliers on behalf of households eligible for REACH services and benefits;

[Include in Plan Element I, and for applicants under Priority Area 1.0, Element III also, as appropriate]

D. a description of the methodology the State and local agencies will use to determine—

(i) which households will receive one or more forms of benefits under the State REACH initiative;

(ii) the cases in which nonmonetary benefits are likely to provide more cost-effective long-term outcomes than payment benefits alone; and

(iii) the amount of such benefit required to meet the goals of the program;

[Include in Elements I(b), I(c), and for applicants under Priority Area 1.0, Elements III and VI also, as appropriate]

E. (F.) a method for targeting nonmonetary benefits;

[Include in Elements I(a), I(b), IV (under Priority Area 1.0), and III, (under Priority Area 2.0)]

G. a description of the crisis and emergency assistance activities the State will undertake are designed to—

(i) discourage family energy crises;

(ii) encourage responsible vendor and consumer behavior; and

(iii) provide only financial incentives that encourage household payment;

[Include in Element I and, under Priority Area 1.0, Element III also, as appropriate]

H. a description of the activities the State will undertake to—

(i) provide incentives for recipients of assistance to pay home energy costs; and

(ii) provide incentives for vendors to help reduce the energy burdens of recipients of assistance;

[Include as appropriate in Element I and, under Priority Area 1.0, Elements III and IV also, as appropriate]

I. an assurance that the State will require each entity that receives a grant or enters into a contract under this section to solicit and be responsive to the views of individuals who are financially eligible for benefits and services under this section in establishing its local program;

[Include in Elements I(a) and I(c)]

J. a description of performance goals for the State REACH initiative including—

(i) a reduction in the energy costs on participating households over one or more fiscal years;

(ii) an increase in the regularity of home energy bill payments by eligible households; and

(iii) an increase in energy vendor contributions towards reducing energy burdens of eligible households;

[Include in Element I(b) and, under Program Area 1.0, Element VI also]

K. a description of the indicators that will be used by the State to measure whether the performance goals have been achieved;

[Include in Element VI]

L. a demonstration that the plan is consistent with Section paragraphs (2), (3), (4), (5), (7), (10), (11), (12), (13), and (14) of section 2605(b) of the Low Income Home Energy Assistance Act of 1981, as amended; subsections (d), (e), (f), (g), (h), (i), and (j) of section 2605; and section 2606 of this title;

[See Attachment K for texts of these Sections and subsections; include as appropriate in Elements I, III, IV, and VII]

M. an assurance that benefits and services will be provided in addition to other benefit payments and services provided under this title and in coordination with such benefit payments and services;

[Include in Element I]

N. an assurance that no regulated utility covered by the plan will be required to act in a manner that is inconsistent with applicable regulatory requirements.

[Include in Element VII]

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