

State of Hawaii
Department of Transportation
Highways Division

Ways to Work Federal Assistance Program

Application Information



2007

Deadline to submit application is February 8, 2007

In accordance to Title 23 of the United States Code

Table of Contents

	page
Background	1
Purpose	1
Eligible Programs	1
Funding Requirements	1
Eligible Program Uses	1
Eligible Organizations	2
Project Operations Requirements	2
Recipient Organization Requirements	3
Application Procedures	5
Award Procedures	5
Application Instructions	6
Forms	10

Background

On November 18, 2005, the 109th Congress passed an Act, which included \$247,500 for Ways To Work efforts in the region of Honolulu, Hawaii. The funds were appropriated or made available on March 22, 2006. The Ways To Work funds are to be authorized for use by the U.S. Department of Transportation Federal Highways Administration (FHWA), and administered and managed by the State of Hawaii Department of Transportation (Department).

Purpose

The purpose of these appropriated funds is to assist low-income families with small loans to purchase or repair automobiles that will be used to provide access to jobs, schools, and day-care facilities.

The vehicle loan program is to provide low-income individuals access to transportation in pursuit of self-sufficiency. Transportation mobility assists individuals to remain in and move forward in their job, and improve their and their family's quality of life.

Eligible Program

These federal funds must be used for a program that provides for individual low-income vehicle loans, and coordinates with community-based programs that service or are linked to the region of Honolulu. These coordinated programs must assist individuals with vehicle loans to improve their quality of life. The said program shall be called the Primary Program.

The programs must meet all applicable Federal, State and local requirements.

Funding Requirements

This program is funded with one-hundred (100) percent federal funding assistance for Recipient paid efforts that meet the Eligible Program requirement.

Eligible Program Uses

These funds can only be used for administrative and operational costs to run and operate the individual low-income vehicle loan program.

Eligible Organizations

These funds are intended for use by Private Non-Profit Organizations that meet the Eligible Program requirement.

However, Public Entities are eligible if there are no private non-profit organizations already providing or readily available to provide for the Eligible Program requirement.

The following are eligible applicant organizations:

Private Non-Profit Organizations

Any private non-profit organization that is not a state or local government that provides human services care or assistance.

The applicant Private Non-Profit Organization is required to submit proof of non-profit status by either a copy of the current annual Domestic Non-Profit Corporation Exhibit from the State Department of Commerce and Consumer Affairs or a Non-profit Status Letter from the Internal Revenue Service; and Documentation of Incorporation.

Public Entities

Any state or local government; and department, agency, special purpose district, or other instrumentality of one or more state or local governments provided there are no non-profit private entities already providing or readily available to provide the proposed Eligible Program service.

The public entity is required to submit evidence that there is no competing non-profit entity providing similar service. The applicant public entity must certify by letter signed by the Director of the agency and the Mayor of the County to the Department there are no non-profit corporations or associations already providing or readily available to provide the proposed Eligible Program service.

Program Operations Requirements

The approved program shall use the funds as described in the application, and in accordance with all applicable Federal, State and local requirements.

Recipient Organization Requirements

The Recipient, an Applicant Organization that has been approved for funding assistance, must comply with the Code of Federal Regulations Title 49 Subtitle A Part 18 – Uniform Administrative Requirements for Grants and Cooperation Agreements (The Common Rule), and with the following Office of Management and Budget (OMB) Circulars and Presidential Executive Order 12372.

Private Non-Profit Organizations

- OMB Circular A-110 – Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- OMB Circular A-122 – Cost Principles for Non-Profit Organizations
- Executive Order 12372 – Intergovernmental Review of Federal Programs
- OMB Circular A-133 – Audits of Institutions of Higher Education and other Non-Profit Institutions

Public Entities

- OMB Circular A-102 – Uniform Administrative Requirements for Grants-In-Aid to State and Local Governments
- OMB Circular A-87 – Cost Principles Applicable to Grants and Contracts with State and Local Governments
- Executive Order 12372 – Intergovernmental Review of Federal Programs
- OMB Circular A-128 – Audits of State and Local Governments

The Recipient shall conduct Single Audits consistent with OMB Circulars and provide the Department a copy.

If the Recipient does not use the funds as described in the Application or in accordance with applicable Federal, State and local requirements, the Department may rescind any further funding, and the Recipient may be required to return the funds to the Department.

Records

The Recipient shall keep records of the program's performance and financial activities of the Primary Program during the period identified in the Agreement. These records shall be kept intact for three years after the Agreement term is completed.

The financial record keeping for the Primary Program shall allow for the tracing of financial transactions adequate to establish that such funds have not been used in violation of any Federal, State or local requirements.

Management

The Recipient is responsible for the administration, management and operations of the Primary Program.

Financial & Fiscal

The Recipient is responsible for the financial practices and fiscal controls of the Primary Program.

Reporting

The Recipient is required to submit to the Department the Quarterly Reports within 30 days of the end of each quarter. The quarter periods are defined as January to March, April to June, July to September and October to December. The purpose of Quarterly Reports is to provide the Department record of work completed and to verify completed work with the agreed work and schedule.

Invoicing

The Recipient is allowed payment for administrative and operational expenditures only. Payment from the subject federal funds program shall be on a reimbursement basis, meaning the Recipient must incur and pay with their own funds before the invoice is submitted to the Department. The Recipient shall invoice the Department in accordance to the schedule provided in the Application.

Site Inspection

The Department may conduct site inspections of the Recipient. The on-site inspection shall provide assurance that the program is being operated in accordance to the said requirements.

The Recipient's representatives at the site inspection shall be persons capable of providing the required operations information and records, and assurance of management, financial and legal capabilities.

Application Procedures

Applicant Organizations interested in receiving funding assistance for a proposed project are required to submit an Application with all required documents to the Department by the application deadline. Any late or incomplete Applications may be rejected from consideration.

The Department will review the Applications for completeness and consistency with the program requirements. An Evaluation and Selection Committee will review qualified applications and recommend for approval to the Director of Transportation the Applicant Organization for funding.

The Evaluation and Selection Committee will evaluate and rank the qualified Applications utilizing the following equally weighted Evaluation Criteria:

1. Applicant Organization's Effectiveness of Primary Program in meeting the Purpose of the intended use of the federal funds.
2. Applicant Organization's Management and Operations Capability to operate and maintain the Primary Program.
3. Applicant Organization's Financial Capability to operate and maintain the Primary Project.

The Department may telephone, email, coordinate meetings or conduct site visits with the Applicant Organization to clarify submitted Applications.

Award Procedures

After approval is received, the Department and the Applicant shall complete an Agreement. After both parties sign the Agreement, the Department shall notify the Applicant that the funds are available for use.

After the funds are made available to the Applicant, the Applicant is hereafter called the Recipient.

Application Instructions

The purpose of the Application is to provide sufficient information to enable the Evaluation and Selection Committee to pick qualified organizations, identify the organization's strategies and practices in meeting the purpose of the federal funds, and rank the Applications.

The Application is due to the Department no later than **February 8, 2007, 4:30 p.m.**

The Application shall contain the following information:

I. APPLICATION LETTER

The Applicant Organization shall submit an Application Cover Letter on the organization's letterhead. The cover letter shall be addressed to:

Hawaii State Department of Transportation
Highways Division
869 Punchbowl Street, 2nd Floor
Honolulu, HI 96813

Attention: Mr. Gerald Dang
Application for Ways to Work

An authorized person from the Applicant Organization shall certify that the Application is true and correct by signature of this letter.

II. GENERAL INFORMATION

Name of Applicant Organization – Legal Name of the Applicant Organization

Address – The address of the Applicant Organization. If the mailing address is different than the address of the Applicant Organization, provide the mailing address also.

Organization Director and Title – The Organization Director shall be the person from the Applicant Organization legally authorized to act on behalf of the Organization with the Department, and shall be the person responsible for the Federal, State and local requirements applicable to the Project.

All formal correspondence, meetings and site inspections between the Department and the Organization shall be with the named Organization Director. The Department will not accept any documents and correspondence; such as the Application, Agreement, Invoices, and Reporting without the signature or authorization of the Organization Director.

Telephone – The telephone number of the Applicant Organization.

Fax – The fax number of the Applicant Organization.

Email – The email address of the Applicant Organization.

Website – The website of the Applicant Organization.

Type of Business – The Applicant Organization must be a Private Non-profit Organization or a Government Public Entity.

Service Area – Describe the Applicant Organization’s total service area, in terms of the regions, communities and towns. The service area is the region the clients of the Primary Program services.

III. PROGRAM INFORMATION

Primary Program – Identify and describe the Primary Program the Applicant Organization provides that meets the Purpose of the federal funds use. The Primary Program description should also describe the need and justification for the primary program and the federal funds assistance, the benefits to be gained by the program, and the deficiencies and shortcomings or other possible negative outcomes that may arise if the funds are not awarded. Also, provide information of the primary programs performance, both for past and expected.

Coordinated Programs – Further, identify and describe the other programs that the primary program will be coordinated with in meeting the purpose of the federal funds use.

IV. MANAGEMENT INFORMATION

Organization Structure – Describe the overall organizational structure of the Applicant Organization. If available, provide a diagram of the organization.

Number of Employees – Identify the number of employees of the Applicant Organization and the Primary Program. For the Primary Program provide the employee position and describe the work related to the Primary Program.

Service Years – Identify the number of years the Applicant Organization has been in business and the number of years the Primary Program has been in existence.

Management & Administration –The Applicant Organization must demonstrate to the Department they are able to provide the required administrative and managerial support and practices to operate the Primary Program. Describe the Applicant Organization’s ability to provide the required management and

administration to operate the Primary Program and comply with the required Federal, State and local requirements.

Quarterly Reporting – Provide a sample of a Quarterly Report.

V. FINANCIAL INFORMATION

Organization Income– Identify the sources of income and their amounts for the Applicant Organization for the past and current year, as well as the estimated sources of income and their amounts for the next two years. If the estimated annual income amounts vary; provide reasons for the fluctuation, and whether this will affect the organization’s financial stability.

Organization Expenses – Identify the operational expenditures for the organization for the past and current year, as well as the estimated costs to operate the organization and Primary Program for the next two years.

Single Audit – If available, provide copies of the most recent Single Audit conducted.

Primary Program Operating and Revenue Budget – For the Primary Program provide the operating budget and revenues to operate the program for the duration the federal funds will be utilized. Also, provide a schedule for operating expenditures that coordinates with federal funds reimbursements.

Financial and Fiscal – The Applicant Organization must demonstrate to the Department they are able to provide the required fiscal obligations and the financial practices to operate the program. The financial capability includes the fiscal controls and accounting procedures necessary to operate the program effectively and efficiently. Describe the Applicant’s ability to provide the required financial practices and fiscal controls to operate the Primary Program and comply with required Federal, State and local requirements.

VI. LEGAL INFORMATION

Legal Counsel – Identify whether the Applicant has legal counsel.

VII. OTHER FEDERAL REQUIREMENTS

Private Non-Profit Organizations – Private Non-Profit Applicant Organizations must provide documentation of their non-profit status to the Department by submitting the following:

- Proof of non-profit status by either a copy of the current annual Domestic Non-Profit Corporation Exhibit or Non-Profit Status Letter from the Internal Revenue Service

- Proof of incorporation by a copy of Incorporation Document

Public Entities – Applicant government agencies must certify that no other public, private or para-transit operators provide the same transportation service. A letter signed by the Director of the Transit Agency and the Mayor of the County must be provided with the Application satisfying this certification.

Title VI of the Civil Rights Act of 1964 – The Applicant Organization must provide assurance to the Department that the Title VI of the Civil Rights Act of 1964 is being complied with by submission of the signed assurance with the Application.

Nondiscrimination on the Basis of Handicap as Required by 49 CFR Part 27 – The Applicant Organization shall provide assurance to the Department that the Nondiscrimination on the Basis of Handicap as Required by 49 CFR Part 27 is being complied with by the submission of the signed assurance with the Application.

Lobbying – The Applicant Organization shall provide assurance to the Department that pursuant to 31 USC 1352 as amended by the Lobbying Disclosure Act of 1995 is being complied with by the submission of the signed assurance with the Application.

Forms

- Title VI of the Civil Rights Act of 1964
- Nondiscrimination on the Basis of Handicap as Required by 49 CFR Part 27
- Lobbying

State of Hawaii
Department of Transportation
Highways Division

Title VI of the Civil Rights Act of 1964
Assurance of Compliance
Ways to Work Honolulu Hawaii

Name of Applicant Organization: _____

Hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (Public Law 88-352) and all requirements imposed by the United States Department of Transportation (USDOT), to the end that, in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, sex or national origin, be excluded from participation, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant Organization receives Federal financial assistance; and hereby gives assurance that it will immediately take any measures necessary to effectuated this agreement.

If any personal property is so provided this assurance shall obligate the Applicant Organization for the period during which it retains ownership or possession of the property. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant Organization by the USDOT, this assurance shall obligate that the Applicant Organization, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purposed involving the provisions of similar services or benefits. In all other cases, this assurance shall obligate the Applicant Organization for the period during which the Federal financial assistance is extended to it by the USDOT.

This assurance is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant Organization by the USDOT. The Applicant Organization recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant Organization; its successors, transferees, and assignees. The person or persons whose signatures appear below are authorized to sign assurance on behalf of the Applicant Organization.

Signed by: _____ Date: _____

Title: _____

State of Hawaii
Department of Transportation
Highways Division

Standard Assurance with Regard to
Nondiscrimination as Required by 49 CFR Part 27
Ways to Work Honolulu Hawaii

Name of Applicant Organization: _____

Pursuant to the requirements of Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) the aforementioned Applicant Organization in desiring to avail itself of Federal financial assistance from the United States Department of Transportation (USDOT), hereby gives assurance that no qualified handicapped person shall, solely by reason of his or her handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination, including discrimination in employment, under any program or activity that receives or benefits from Federal financial assistance provided by the USDOT.

The Applicant Organization further assures that its programs will be conducted, and its facilities operated, in compliance with all the requirements imposed by or pursuant to 49 CFR Part 27.

The person or persons whose signatures appear below are authorized to sign assurance on behalf of the Applicant Organization.

Signed by: _____ Date: _____

Title: _____

State of Hawaii
Department of Transportation
Highways Division

Lobbying Assurance of Compliance
Ways to Work Honolulu Hawaii

Name of Applicant Organization: _____

The undersigned certifies, to the best of its knowledge and belief, that :

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of 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 making lobbying contacts to 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 [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(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 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). 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. [Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The undersigned certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, *apply* to this certification and disclosure, if any.

Signed by: _____ Date: _____

Title: _____