

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

[Program Announcement No. NCCAN/CB 97-04]

Announcement of the Availability of Financial Assistance and Request for Applications to Support Child Abuse and Neglect Demonstration Projects

AGENCY: Administration on Children, Youth and Families ACF, DHHS.

ACTION: Announcement of the availability of financial assistance and request for applications to support child abuse and neglect demonstration projects as authorized by the Child Abuse Prevention and Treatment Act, as amended by Pub. L. 104-235 (1996).

SUMMARY: The National Center on Child Abuse and Neglect/Children's Bureau announces the availability of Fiscal Year 1997 funding for demonstration projects designed to prevent, assess, identify, and treat child abuse and neglect.

Note: The National Center on Child Abuse and Neglect (NCCAN) was established in 1974 to carry out the functions of the Child Abuse Prevention and Treatment Act (CAPTA). Pursuant to Pub. L. 104-235, the Child Abuse Prevention and Treatment Act Amendments of 1996, the Office on Child Abuse and Neglect (OCAN) will, in the near future, be established by the Secretary for the purpose of coordinating the functions and activities of CAPTA, replacing NCCAN.

This announcement contains forms and instructions for submitting an application.

DATES: The closing time and date for the receipt of applications under this announcement is 4:30 p.m. (Eastern Time) [July 14, 1997.] Applications received after 4:30 p.m. will be classified as late.

FOR FURTHER INFORMATION CONTACT: The ACYF Operations Center Technical Assistance Team at 1-800-351-2293 is available to answer questions regarding application requirements and to refer you to the appropriate contact person in NCCAN for programmatic questions.

INTENT TO APPLY: If you are going to submit an application, call in the following information within two weeks of the receipt of this announcement: The name, address, and telephone number of the contact person; the name of the organization; and the priority area(s) in which you may submit an application or send a postcard with the information to: Administration on Children, Youth and Families, Operations Center, 3030 Clarendon Boulevard, Suite 240, Arlington, VA 22201. The telephone

number is 1-800-351-2293. This information will be used to determine the number of expert reviewers needed and to update the mailing list of persons to whom future program announcements will be sent.

SUPPLEMENTARY INFORMATION: This program announcement consists of three parts. Part I provides information on the National Center on Child Abuse and Neglect and general information on the application procedures. Part II describes the review process, additional requirements for the grant applications, the criteria for the review and evaluation of applications, and the programmatic priorities for which applications are being solicited. Part III provides information and instructions for the development and submission of applications.

The forms to be used for submitting an application are included in Appendix A. Please copy as single-sided forms and use in submitting an application under this announcement. No additional application forms are needed to submit an application.

Applicants should note that grants to be awarded under this program announcement are subject to the availability of funds.

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Part I. General Information

A. Background

The Administration on Children, Youth and Families (ACYF) administers

national programs for children and youth, works with States and local communities to develop services which support and strengthen family life, seeks out joint ventures with the private sector to enhance the lives of children and their families, and provides information and other assistance to parents, public and private agencies, States and local communities, and other entities.

The concerns of ACYF extend to all children from birth through adolescence. Many of the programs administered by the agency focus on children from low-income families; children and youth in need of foster care, adoption, or other child welfare services; preschool children; children with disabilities; abused and neglected children; runaway and homeless youth; and children from Native American and migrant families.

The National Center on Child Abuse and Neglect (NCCAN) located organizationally within ACYF was established in 1974 to carry out the functions of the Child Abuse Prevention and Treatment Act (CAPTA).

NCCAN provides Federal leadership and conducts activities designed to assist and enhance national, State and community efforts to prevent, assess, investigate and treat child abuse and neglect. These activities include: Supporting knowledge-building research projects and service improvement demonstration programs; awarding grants to eligible States for developing child protection systems that are comprehensive, child-centered, family-focused, and community-based; promoting coordinated planning among all levels of government; developing national policies that prevent child abuse and neglect, protect children, and preserve families; providing training and technical resources necessary to develop and implement a successful and comprehensive child and family protection strategy through a National Resource Center on Child Maltreatment; supporting mutual support/and parent self-help programs; gathering, processing and housing high quality data sets through a National Data Archive on Child Abuse and Neglect; and gathering, storing and disseminating child maltreatment information through a National Clearinghouse on Child Abuse and Neglect Information.

B. Statutory Authority Covered Under This Announcement

NCCAN solicits applications under the authority of the Child Abuse Prevention and Treatment Act (CAPTA), as amended in 1996 (42 U.S.C. 5101 et

seq.). Through the amendments of 1996, CAPTA is now reauthorized through September 30, 2001 (Pub. L. 104-235). Funds were appropriated under the 1997 Appropriations Act (Pub. L. 104-208) through September 1997 (CFDA: 93.670).

Part II. The Review Process and Priority Areas

A. Eligible Applicants

Each priority area description contains information about the types of agencies and organizations eligible to apply. Because eligibility varies depending on statutory provisions, it is critical that the "Eligible Applicants" section of each priority area be read carefully.

Before review, each application will be screened for eligibility. Applications from ineligible organizations will not be reviewed in the competition, and the applicants will be so informed.

Only agencies and organizations, not individuals, are eligible to apply under this Announcement. All applications developed jointly by more than one agency organization must identify a single lead organization as official applicant. Participating agencies and organizations can be included as co-participants, sub-grantees, or subcontractors. For-profit organizations are eligible to participate as sub-grantees or subcontractors with eligible non-profit organizations under all priority areas.

Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

B. Review Process and Funding Decisions

Before applications are reviewed, each application is screened to determine whether the applicant organization is eligible. Applications from ineligible organizations will not be reviewed in the competition, and the applicants will be so informed. Applicants that omit essential components of the application or fail to comply with the format specifications described in Part III will have their

applications withdrawn from further consideration.

Timely applications from eligible applicants will be reviewed and scored competitively. Experts in the field, generally persons outside the Federal government, will use the evaluation criteria listed later in this section to review and score the applications. The result of this review is a primary factor in funding decisions.

NCCAN and ACYF reserve the option to discuss applications with, or refer them to other Federal or non-Federal funding sources when this is in the best interest of the Federal government or the applicants. ACYF may also solicit comments from ACF Regional Office staff, other Federal agencies, interested foundations, national organizations, specialists, experts, States and the general public. These comments, along with those of the expert reviewers, will be considered by ACYF in making funding decisions.

In making award decisions, ACYF may give preference to applications that focus on: Substantially innovative strategies with the potential to improve theory or practice in child welfare and child protective services; a model practice or set of procedures that holds the potential for replication by organizations that administer or deliver child welfare and/or child protective services; substantial involvement of volunteers, where appropriate; substantial involvement (either financial or programmatic) of the private sector; a favorable balance between Federal and non-Federal funds available for the proposed project; the potential for high benefit from low Federal investment; and/or substantial involvement by national or community foundations.

To the greatest extent possible, funding decisions will reflect an equitable distribution of assistance among the States and geographical regions of the country, rural and urban areas, and ethnic populations. In making these decisions, ACYF may also take into account the need to avoid unnecessary duplication of effort.

C. Evaluation Criteria

A panel of at least three reviewers (primarily experts from outside the Federal government) will review the applications. To facilitate this review, applicants should address each requirement in the priority area under the appropriate section of the Program Narrative Statement.

The reviewers will determine the strengths and weaknesses of each application using the evaluation criteria listed below and provide verbal and written comments and assign numerical

scores to each application. The point value following each criterion heading is the maximum score for that criterion.

All demonstration project applications will be evaluated against the following criteria:

(a). Objectives and Need for Assistance (20 points). The application states the objectives of the project; pinpoints the problem or issue requiring a solution and demonstrates the need for assistance; provides supporting documentation or other testimonies from concerned interests other than the applicant; identifies other successful research or demonstration projects that may have implications for the proposed demonstration (which may include a review of the relevant literature); identifies the conceptual or theoretical framework for this model; and describes whether the proposed project replicates or modifies previously evaluated model(s) addressing the identified problem or issue. The application must identify the location of the project and area and population to be served.

(b). Approach (35 points). The application outlines a sound and workable plan of action and time-line; details how the proposed work will be accomplished; describes the approach in detail; points out its unique features; cites factors that might accelerate or delay this approach, giving acceptable reasons for taking this approach as opposed to others; describes and supports any unusual features of the project, such as extraordinary social and community involvement; includes an adequate staffing plan that lists key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; and, describes the responsibilities, activities, and/or training plans for each (if applicable).

(The application proposes reasonable project costs and allocates sufficient funds appropriately across activities to accomplish the objectives. The application describes the fiscal control and accounting procedures that will be used to ensure prudent use and accurate accounting of funds received under this program announcement.

The application, when appropriate, identifies the kinds of data to be collected and maintained for evaluation purposes and discusses the criteria to be used to evaluate the results of the project. The application describes the evaluation methodology that will be used to determine if the needs identified were addressed, if the approach proposed was followed and if the benefits expected were achieved.

(c). Results or Benefits Expected (20 points). The application identifies the

results and benefits to be derived, the extent to which they are consistent with the objectives, their contributions to policy and practice, and the extent to which the proposed project costs are reasonable in view of the expected results.

(d). **Staff Background and Organization Experience (25 points).** The application identifies the educational and professional background of the project director and key project staff and the experience of the organization to demonstrate the applicant's ability to administer and implement the project effectively and efficiently. The role of the author(s) of this proposal in relation to the work plan and administrative structure should be explicitly identified. The application describes the project and other Federally assisted work planned, anticipated or underway by the applicant. If the project proposed is a collaboration, the application must describe the nature and extent of the collaboration including the responsibilities of the respective agencies in carrying out the activities identified in the work-plan.

D. Structure of Priority Area Descriptions

Each priority area description is composed of the following sections:

Eligible Applicants: This section specifies the type of organization eligible to apply under the particular priority area. Specific restrictions are noted where applicable.

Purpose: This section presents focus and/or broad goal(s) of the priority area.

Background Information This section briefly discusses the legislative background and the current state-of-the-art and/or current state-of-practice supporting the need for the particular priority area activity. Relevant information of projects previously funded by ACYF and/or others and State models are noted.

Minimum Requirements for Project Design: This section presents the minimum requirements which must be addressed in response to the evaluation criteria. For demonstration projects, these requirements relate to objectives and need for assistance, approach, results or benefits expected, staff background and organizational experience. Reviewers will expect the details under these headings to correspond to the evaluation criteria.

Project Duration: This section specifies the maximum allowable project period; it refers to the amount of time for which Federal funding is available.

Federal Share of Project Cost: This section specifies the maximum amount of Federal support for the project for the first budget year.

Matching Requirement: This section specifies the minimum non-Federal contribution, either cash or in-kind match, required in relation to the maximum Federal funds requested for the project.

Anticipated Number of Projects To Be Funded: This section specifies the number of projects ACYF anticipates funding under the priority area.

Non-responsiveness to the section "Minimum Requirements for the Project Design" is likely to result in a low evaluation score by the reviewers. Experience has shown that an application which is broader and more general in concept than the priority area description invariably scores lower than one more clearly focused on, and directly responsive to, the specific priority area.

E. Available Funds

The ACYF intends to award new grants resulting from this announcement during the fourth quarter of Fiscal Year 1997, subject to the availability of funds. The size of the actual awards will vary from priority area to priority area.

Each priority area description specifies that maximum Federal share of the project costs and the anticipated number of projects to be funded.

"Budget period" is the interval of time (usually 12 months) into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes. "Project period" is the total time a project is approved for support, including any extensions.

Where appropriate, applicants may propose project periods which are shorter than the specified maximums. Non-Federal share contributions may exceed the minimums specified when the applicant is able to do so. However, applicants should only propose a non-Federal share they can realistically provide because ACF will disallow any unmatched Federal funds.

For multi-year projects, continued Federal funding beyond the first budget period depends upon satisfactory performance by the grantee, availability of funds from future appropriations, and a determination that continued funding is in the best interest of the Government.

F. Priority Area Descriptions and Requirements

This announcement deals with only demonstration projects. A separate announcement will be forthcoming on research priorities.

The Child Abuse Prevention and Treatment Neglect Act Amendments of 1996 gives the Secretary the discretion to award grants for several new and innovative demonstration projects. The priority areas included in this announcement are selected from a range of projects which were suggested in the legislation.

- 1.01. National Network of Mutual Support/Self-Help Programs in Partnership with Communities
- 1.02. Innovation in Responding to Reports of Child Abuse and Neglect
- 1.03. Innovation Approaches to Kinship (Relative) Care of Children in the Child Welfare System
- 1.04. School-Based Child Maltreatment Prevention, Identification and Treatment Services

Applicants are strongly encouraged to build new projects on the results and findings of previously funded NCCAN grants. Information on prior research and demonstration projects supported by NCCAN and other references made in this announcement are available from the Clearinghouse on Child Abuse and Neglect Information, PO Box 1182, Washington, DC 20013, (1-800-FYI-3366). The Clearinghouse can provide information on the other Federal Clearinghouse and Resource Centers having special information and resources.

- 1.01. National Network of Mutual Support/Self-Help Programs in Partnership With Communities

Eligible Applicants: Private non-profit organizations with the capacity to establish and/or maintain a national network of Mutual Support and Self-Help Programs as a means of strengthening families are eligible to apply under this priority area.

Purpose: The primary purpose of this priority area is to build a national network of mutual support and self-help programs for families that work in close cooperation with State and community-based child abuse prevention and treatment programs. The network will function on two levels. The first level should focus on growth and capacity-building for mutual support and self-help programs for families that are or will become part of a national network, i.e., the network should promote the establishment of new mutual support and self-help programs in communities where they do not now exist, increase the capacity and scope of existing programs, provide training for program leaders, and engage in public awareness activities. The second level encompasses the network's relationship to the community-at-large, i.e., the

network should assure that its programs coordinate closely with activities under the new Community-Based Family Resource and Support Grants authorized in Title II of the Child Abuse Prevention and Treatment Act, as amended by Pub. L. 104-235. Title II grants will support State efforts to develop, operate, expand and enhance a network of community-based, prevention-focused, family resource and support programs that coordinate resources among all the agencies that currently deal with children and families, e.g., education, vocational rehabilitation, disability, respite care, health, mental health, job readiness, self-sufficiency, child and family development, community action, Head Start, child care, child abuse and neglect prevention, juvenile justice, domestic violence prevention and intervention, housing, and other human service organizations within the State. Title II grants are also to be used to enhance an understanding of diverse populations in order to be effective in preventing and treating child abuse and neglect.

Parent self-help groups, with their emphasis on and expertise in shared leadership between parents and professionals, are natural partners with State and community-based programs such as those authorized under Title II. The national network established under this priority area should demonstrate the feasibility of developing close linkages with these programs, at the same time it goes about its work of strengthening the self-help movement in the prevention and treatment of child abuse and neglect.

The following are examples of various components of the potential demonstration activities under this priority area:

- Strengthening the relationships between family self-help programs and public and private agencies that serve maltreated children under Title II. This would entail increasing the participation of families involved in self-help programs in the Community-Based Family Resource and Support Program established under Title II of Pub. L. 104-235 in order to encourage consistent use of parent-self-help as part of a coordinated prevention and/or intervention strategy.
- Increasing the participation of fathers and other relatives in self-help groups by promoting and providing access to improved recruitment and training techniques;
- Promoting increased sensitivity in parent self-help groups to issues of cultural diversity as they affect child-rearing practices and questions of abuse and neglect;

- Increasing the participation of members of racial and ethnic minorities in parent self-help groups;

- Enhancing public awareness and outreach programs to at-risk families to encourage self-referral;

- Enhancing the capacity for local chapters and State organizations to communicate with each other and participate in national leadership development and agenda-setting;

- Supporting the preparation and dissemination of written materials for chapter leadership and development.

Background Information: Section 105 (a)(2) of the Child Abuse Prevention and Treatment Act, as amended by Pub. L. 104-235 (1996), authorizes the Secretary to award grants to establish or maintain a national network of mutual support and self-help programs as a means of strengthening families in partnership with their communities.

The NCCAN has long been committed to supporting the efforts of parent-led groups that use self-help techniques to treat parents who abuse and neglect their children. These groups also serve as a prevention program for troubled parents who believe that without this assistance they might potentially harm their children. Since 1975, NCCAN has expended some 2.4 million dollars to support parent self-help groups.

There is some evidence that self-help groups foster community ownership, self-reliance and relief from isolation for parents under stress, as well as cost-savings. In a 1988 review of the literature published in *Contemporary Family Therapy: An International Journal* (Volume 10, Number 4, Winter, 1988, pages 145-167), Gary Cameron notes that, given the social isolation of many child welfare clients, informal peer support networks created specifically for these groups may prove to be more accessible than those available within the community-at-large. He further states that self-help groups usually provide their members with a range of benefits often not available in a traditional professional-client setting, and these benefits can be seen as complementary to those provided by the mainstream service delivery system. These groups incorporate the "helper-as-helped" model, i.e., those who give the help are also helped. Providing help increases the helper's self-esteem, communication skills, and sense of connectedness to others, all of which can mitigate child maltreatment.

Given this, CAPTA suggests that the next step is to encourage the development of a national network of mutual support/self-help programs, and further, for this network to reach out

actively to the Community-Based Family Resource and Support Programs around the nation, so that the informal helping methods or self-help programs and the formal interventions of the institutionalized social service delivery system can support and enhance each other for the benefit of children and their families.

Minimum Requirements for Project Design: As part of addressing the evaluation criteria outlined in Part II of this announcement, each applicant must address the following items in the program narrative section of the proposal.

Objectives and Need for Assistance

- State the objectives of the project in specific, measurable terms.
- Pinpoint the problem or issue that needs to be addressed and establish the need for assistance; provide supporting documentation or other testimonies from concerned interests other than the applicant. Specifically provide evidence of the ability to establish a national network linked with Community-Based Family Resource and Support Program, using documentation such as statements that local chapters and other private, non-profit agencies and organizations will participate in the proposed demonstration activities.
- Demonstrate an awareness of current initiatives in the field and how the approach being proposed would build on this work.
- Identify the conceptual or theoretical framework used as the basis for the proposed model; provide a review of relevant literature and include information about similar successful demonstration projects that may have implications for the proposed demonstration project.
- Describe whether the proposed project replicates or modifies a previously evaluated model.
- Identify the precise location of the projects, communities, and populations to be served by the proposed project.

Approach

- Describe the approach in detail and point out its unique features including sensitivity to cultural, sociological, psychological, and ethnic dynamics which have affected the choice of approach.
- Describe a sound and workable plan of action and time-line which match the scope of the project and explain how the proposed work will be accomplished.
- Cite factors which might accelerate or delay this approach, giving acceptable reasons for taking this approach as opposed to others.

- Include an adequate staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; describe the responsibilities, activities, and/or training plans for each (if applicable). If the proposed project is a collaboration, the application must describe the nature and extent of the collaboration and the responsibilities of the respective agencies in carrying out the activities identified in the work-plan.

- Propose an evaluation plan. Discuss the methods and criteria to be used to evaluate the results and benefits of the project. Identify the kinds of data to be collected and maintained for this purpose. An external evaluator may be hired or an internal evaluation may be designed. It is recommended that not less than 15% of the proposed budget be set aside for evaluation efforts.

Results or Benefits Expected

- Identify the results and benefits to be derived by clients, communities, and agencies as a result of the implementation and evaluation of this project. Discuss how project findings are likely to improve practice and inform policy.

- Justify proposed project costs in view of the expected results and benefits.

- Describe strategies for disseminating findings to other practitioners in the field.

Staff Background and Organizational Experience

- Identify the educational and professional background of the project director and key project staff.

- Describe the organization's ability to administer and implement the project effectively and efficiently.

- Identify precisely the role of the author(s) of this proposal in relation to the work-plan and administrative structure.

- Describe the relationships between the proposed project and other Federally assisted work planned, anticipated, or underway by the applicant.

- Provide assurance that at least one key staff person will attend an annual three-day meeting in Washington, D.C.

- Provide assurance that all reports will be prepared in an NCCAN-suggested format and copies of final reports and other products shall be provided to the Clearinghouse.

Project Duration: The length of the project must not exceed a three-year period.

Federal Share of Project Cost: The maximum Federal share of this project is not to exceed \$300,00 for the first 12-month budget period and \$200,000 each for the second and third budget periods or a maximum of \$700,000 for a period of three years.

Matching Requirement: Grantees must provide a non-Federal share or match of at least 25% of the total approved cost of the project. The total approved cost of the project is the sum of the Federal share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a three year project requesting \$700,000 in Federal funds (based on an award of \$300,000 for the first year and \$200,000 each for the second and third years) must include a match of at least \$233,333 over three years or \$100,000 for year one and \$66,667 for each of the remaining two years. Applicants are expected to bring in additional resources into the project during the second and third years in partnership with community based organizations.

Anticipated Number of Projects to be Funded: It is anticipated that one project will be funded.

CFDA Number: 93.670.

1.02 Innovation in Responding to Reports of Child Abuse and Neglect

Eligible Applicants: Public and private nonprofit agencies or a combination of such agencies, with only one being the primary applicant. The State and County Child Protective Service agencies are encouraged to apply under this priority area in collaborative partnerships with community social service agencies and family support programs, schools, churches and synagogues, and other community agencies. Private nonprofit agencies applying as primary applicants must include letters of commitment from State or County child protective services agencies willing to serve as demonstration sites.

Purpose: The intent of this priority area is the development and demonstration of innovative systems of differential response to reports of child abuse and neglect. Section 105(3)(A) of CAPTA, as amended by Pub. L. 104-235, authorizes the Secretary to award grants which "demonstrate innovation in responding to reports of child abuse and neglect including programs of collaborative partnerships between the State child protective services agency, community social service agencies and family support programs, schools, churches and synagogues, and other

community agencies to allow for the establishment of a triage system." Triage in this context means a differential, multi-tiered approach to handling referrals of child abuse and neglect, based on the assessed degree of severity of the referral, the assessed needs of the family and the assessed risk of future harm. "The triage system should: (i) Accept, screen, and assess reports to determine which reports require intensive intervention and which require voluntary referral to another agency, program, or project; (ii) provide, directly or through referral, a variety of community-linked services to assist families in preventing child abuse and neglect; and (iii) provide further investigation and intensive intervention where the child's safety is in jeopardy."

Applicants may either propose new approaches or replicate previously evaluated and promising models. Applicants are strongly encouraged to address in their proposal multiple problem areas affecting children and families, which require creative, interdisciplinary responses. All responses should build on the strengths of families and provide community-based solutions to protecting children through partnerships with community-based agencies. This priority area embraces change in the way traditional systems of child protection operate, and proposals should reflect how the innovative system will ensure the safety of children and not let them "fall through the cracks." The models should explain how legislative or policy-based issues have an impact on intake and assessment (e.g., the central registry and expungement) and how they will be addressed. A strong evaluation component is required. Data on the costs and potential cost-benefits of providing the proposed model should be collected for evaluation purposes.

Background Information

According to the most recent statistical information available from NCANDS (National Child Abuse and Neglect Data System), almost 3 million children were reported to State child protective services agencies and more than one million children were determined to have been victims of child abuse and neglect in 48 states (*Child Maltreatment 1995: Reports from the States to the National Center on Child Abuse and Neglect*). Despite an increase in victims of almost 27 percent since 1990, more than half of all investigations resulted in a finding of "not substantiated." Child protective services agencies have, understandably, become overwhelmed with the increased volume of reports and more

stressed by static staffing patterns. It has become increasingly difficult to provide timely and thorough assessments and intervention, but more importantly, the NCANDS data noted above raise questions regarding screening and the extent of agency involvement in the lives of reported families. Given the numbers of unsubstantiated cases at one end of the continuum, and the rise in serious injuries and fatalities at the other, the dilemma centers on some families receiving unwarranted public agency involvement and other families not receiving enough agency attention to assure the safety of the children.

In light of this dilemma, various organizations and governmental agencies have begun exploring differential response systems. For example, in 1993, the Department of Navy Family Advocacy Program (FAP) began the development of a Navy-specific Risk Assessment Model. This "life of the case" model was piloted in 1995, and it introduced a triage system whereby reports are screened upon receipt, cases not meeting the two eligibility criteria for Family Advocacy services are referred directly to the appropriate resource, cases assessed as lower level in severity and risk of harm are classified as "Families in Need of Services" (FINS) and diverted to the needed prevention or intervention service. Under this system, the FINS cases are not officially "opened" and, therefore, not included in the program's Central Registry.

Another example of an organization's effort to respond to this dilemma is the Edna McConnell Clark Foundation "Community Partnerships" initiative. Designed to "enhance the ability of local communities to keep children safe," the initiative has three key components: diversion, community-CPS partnerships, and CPS agency reform (The Edna McConnell Clark Foundation Program for Children Strategy Statement, March 1996). In 1995, the Foundation awarded grants to four sites to advance the efforts already underway to make fundamental changes in their handling of child abuse and neglect cases. In Jacksonville, Florida, CPS workers are out-stationed in full-service schools, and families deemed inappropriate for CPS response are referred out to a 24-hour resource and referral hotline. Through the use of Community Support Agreements, community volunteers contract to assist families reported to CPS. The Cedar Rapids, Iowa, Partnership project is piloting a new assessment approach, changing the way it responds to families reported to CPS, developing neighborhood based supports for

families and placing CPS staff at family resource centers where they team with other local resources. The Neighborhood Places project in Louisville, Kentucky, through a collaboration of 20 public and private agencies, has developed community-based centers where staff for income support, child protection, health, employment, and other services are collected. At Neighborhood Place Ujima, safety strategies specifically developed for children under age five will be used in investigating and serving families whose cases involve serious injuries or neglect. The St. Louis, Missouri, Community Partnership supports State legislation which pilots a dual track system, limiting investigations to cases requiring police involvement and utilizing the family assessment method in responding to all other cases. It also joins the State's Division of Family Services with communities to develop local responses to families' needs. The partnership will hire Neighborhood Resource Specialists for outreach activities, as well as encourage neighborhood associations and other groups to become more involved in child safety by establishing a Community Innovation Fund.

Several States have responded legislatively to the call for reform efforts in the delivery of child protective services and much of the legislation contains language describing aspects of differential response systems. For example, the State of Florida was the first to pass legislation to create a dual track system for assessment of lower-risk cases. All reports are assessed (i.e., family functioning, circumstances and need for support are examined) rather than investigated (i.e., verifying whether or not an incident occurred), and Florida no longer maintains a central registry. Like Florida, Iowa is now using an assessment approach and limits the cases which go to the central registry to those involving greater risk or significant injury. Missouri also passed CPS reform legislation which limits investigations to cases requiring police involvement. Family assessments are conducted for all other situations. North Dakota only places reports on the central child abuse information index when services are required. The State of Virginia is planning to pilot a system whereby less serious reports are assessed and offered services through the local department or county without being entered into the central registry. Finally, Oregon has selectively adapted a family unity model first developed and implemented in New Zealand in 1989. There is no need to validate that a child has been abused or neglected

under the family unity model. Instead, family members brainstorm options for the care and protection of the child.

Under this priority area, NCCAN is interested in proposals which are responsive to the CAPTA legislation and continue to promote CPS reform efforts. Proposals should establish a triage system to help determine which reports require intensive intervention in order to ensure the safety of the child and which warrant voluntary referral to another community resource. The system should also include a variety of community-linked services to assist families in preventing child abuse and neglect as well as provide for further investigation and intensive intervention when the safety of the child is jeopardized. Applicants should address procedures for accepting, screening and assessing allegations of abuse and neglect, describe measures taken to ensure child safety in the decision-making process, describe a range of responses that can be applied differentially, and demonstrate how community agencies will be involved in the response system.

Note: The examples of programs cited in this section are intended to stimulate thinking about new and innovative approaches. Interested applicants are encouraged to use this information as a resource in the preparation of their proposals. Citing of these programs is not to be considered as an endorsement of the programs by NCCAN. Each application will be considered on its own merit to the extent that it meets the expectations of this announcement.

Minimum Requirements for Project Design: As part of addressing the evaluation criteria outlined in Part II of this announcement, each applicant must address the following items in the program narrative section of the proposal.

Objectives and Need for Assistance

- State the objectives of the project in specific, measurable terms.
- Pinpoint the problem or issue that needs to be addressed and establish the need for assistance; provide supporting documentation or other testimonies from concerned interests other than the applicant. Specifically, provide evidence of the ability to establish a collaborative partnership with community-based agencies and organizations who would be partners in the response system proposed under this project, using documentation such as statements that such entities will participate in the proposed demonstration activities.
- Demonstrate an awareness of current initiatives in the field and how

the approach being proposed would build on or improve this work.

- Identify the conceptual or theoretical framework used as the basis for the proposed model and provide a review of the relevant literature; include information about similar successful demonstration projects that may have implications for the proposed demonstration.
- Describe whether the proposed project replicates or modifies a previously evaluated model which addresses the identified need.
- Identify the precise location of the project, community, and population to be served by the proposed project.

Approach

- Describe the approach in detail and point out its unique features including sensitivity to cultural, sociological, psychological, and ethnic dynamics which have affected the choice of approach.
- Describe a sound and workable plan of action and time-line which match the scope of the project and explain how the proposed work will be accomplished.
- Cite factors which might accelerate or delay this approach, giving acceptable reasons for taking this approach as opposed to others.
- Include an adequate staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; describe the responsibilities, activities, and/or training plans for each (if applicable). If the proposed project is a collaboration, the application must describe the nature and extent of the collaboration and the responsibilities of the respective agencies in carrying out the activities identified in the work-plan.
- Propose an evaluation plan. Discuss the methods and criteria to be used to evaluate the results and benefits of the project in terms of the stated objectives of the project. Identify the kinds of data to be collected and maintained for this purpose. An external evaluator may be hired or an internal evaluation may be designed. It is recommended that not less than 15% of the proposed budget be set aside for evaluation efforts.

Results or Benefits Expected

- Identify the results and benefits to be derived by clients, community, agency, and NCCAN as a result of the implementation and evaluation of this project. Discuss how project findings are likely to improve practice and inform policy.
- Justify proposed project costs in view of the expected results and benefits.

- Describe strategies for disseminating findings to other practitioners in the field.

Staff Background and Organization Experience

- Identify the educational and professional background of the project director and key project staff.
- Describe the organization's ability to administer and implement the project effectively and efficiently.
- Identify precisely the role of the author(s) of this proposal in relation to the work plan and administrative structure.
- Describe the relationship between the proposed project and other Federally assisted work planned, anticipated, or underway by the applicant.
- Provide assurance that at least one key staff person will attend an annual three-day meeting in Washington, D.C.
- Provide assurance that all reports will be prepared in an NCCAN-suggested format and copies of final reports and other products shall be provided to the Clearinghouse.

Project Duration: The length of the project must not exceed a three-year period.

Federal Share of Project Cost: The maximum Federal share of this project is not to exceed \$200,000 for the first 12-month budget period, or a maximum of \$600,000 for a period of three years.

Matching Requirement: Grantees must provide a non-Federal share or match of at least 25% of the total approved cost of the project. The total approved cost of the project is the sum of the Federal share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a three year project requesting \$600,000 in Federal funds (based on an award of \$200,000 per 12-month budget period) must include a match of at least \$200,000 over three years or \$66,667 per year.

Anticipated Number of Projects To Be Funded: It is anticipated that up to five projects will be funded.

CFDA Number: 93.670.

1.03 Innovative Approaches to Kinship (Relative) Care of Children in the Child Welfare System

Eligible Applicants: Public (State, Tribal or local) or private nonprofit agencies, organizations, and institutions of higher learning are eligible. Collaborative applications are encouraged. However, a primary applicant must be identified. If the primary applicant is a private nonprofit

agency, organization or institution of higher learning, a clear statement of commitment and agreements with the State, Tribal or local child protection or child welfare entities must be provided which assures access to appropriate data sources and individuals.

Purpose: The purpose of this priority area is to develop innovative approaches for the use of kinship (relative) care for children in the child welfare system at the State, Tribal and local levels, to demonstrate the processes by which these approaches are implemented, and to assess the degree of success these approaches have in achieving desired goals. (Note: in this announcement, the terms "kinship care" and "relative care" are used interchangeably). These approaches are to focus on the following areas: (1) Policies and procedures for decision-making about the appropriateness of placement in kinship settings; (2) the licensing and certification requirements that facilitate the willingness and capability of relatives to care for children, and that support the safety and well-being of children; and (3) the service needs, including needs for economic support, of kinship care families and children, and the strategies for training, supervision, and service provision to meet the identified needs of such families and children. These approaches must be designed to meet the broad goals of demonstrated positive outcomes in the safety, permanency and well-being of the children involved. The knowledge gained from the demonstration, through a systematic evaluation, is to be shared with interested child protection and child welfare agencies nationwide and to be carefully analyzed for its implication for policy and practice. If proven successful, the models would then be suitable for replication elsewhere.

Background Information: Hornby, Zeller & Karraker, (*Child Welfare*, September–October, 1996) in their analysis of the use of relatives for the care of children, categorize the agency goals related to the use of relatives in five different ways: (1) Relative care can be a diversion from the foster care and child welfare system; (2) relative care can provide short-term support within the system while an agency pursues the goal of returning children to their birth-parent home; (3) relative care can provide short-term support within the system with a goal of long-term discharge to relatives; (4) relative care can provide long-term support outside the child welfare system; and (5) relative care can provide long-term support within the child welfare system. Evaluations about the nature of kinship

care as a service must begin, they suggest, with a consideration of which of these uses are being served.

The current state of knowledge about relative care is limited primarily to a recognition of the variety of purposes, definitions, payment structures, licensing, monitoring, and guardianship policies employed by States, Tribes and local child protective services agencies. The lack of knowledge about service usage, design, intent, and outcomes has unknown consequences for the increasing proportion of children that are living in relative care (*A Report from the Multistate Foster Care Data Archive: Foster Care Dynamics 1983-1992*. Chapin Hall, University of Chicago, 1994). Of added importance, the 1996 Amendments to the Adoption Assistance and Child Welfare Act require States to "consider giving preference to an adult relative over a non-related caregiver when determining placement for a child, provided that the relative caregiver meets all relevant State child protection standards."

Because so little systematic information is available about the elements of relative care which include but are not limited to usage, design, policy context, and effects on children—NCCAN/CB is interested in a set of demonstrations, with evaluations, of specified models of service design and delivery that have the potential for replication.

Demonstrations are expected to employ an evaluation paradigm which will determine how and if the proposed policies, procedures, or practices, if fully implemented, could translate into the desired outcomes. The applicant must provide a detailed description of the demonstration model used, and delineate the explicit or implicit theory of how and why the proposed policy, procedure, or practice should be expected to work. In delineating the project model (often referred to as a "logic model"), the applicant must specify particular policy, procedure, or intervention; interim steps and accomplishments which are expected to occur in the implementation process; specific intended outcomes (e.g., safety, permanency and well-being) and outcome indicators; and describe the logical relationships among the various project components, i.e., the processes through which the program activities are expected to translate into outcomes for participants. The applicant should specify the planning assumptions (i.e., factors which can impact on the project, but over which the applicant may have no control) for the successful implementation of the model. Each component of the model should be

specified in verifiable and measurable terms, and measurement strategies and sources of the data should be specified. This evaluation paradigm is meant to demonstrate whether or not a program has met the goals that it has set for itself (i.e., the project purpose), and to explicitly connect program components to the degree of success in achieving those goals, rather than to compare populations in one treatment against those in another.

All projects should have the goals of protecting and promoting the safety, permanency, and well-being of children. Applicants should consider the following.

- **Safety:** How does the relative care program protect the safety of a child in a relative care placement? What are the safety related policies, procedures, and activities? Are the activities that are conducted different from those for children in other placements, and if so, why? Does the implementation of safety-promoting policies or procedures for children in relative care vary in relation to the particular policy context or usage of relative care as described above by Hornby, et al.? What is the evidence that the policies, procedures, and practices for safety achievement have the desired benefits on safety as an outcome? Likely elements in safety promotion include, but are not limited to, licensing, certification, monitoring policies, access to the child(ren) by maltreating birth-parents or others, standards for removal, and assessment of relative willingness and capacity to parent and support the child(ren).

- **Permanency:** How is the use of kinship care expected to affect the permanency of placement, including returning home, adoption or guardianship? How might the effects on permanency be related to the policy context and use of kinship care as described above by Hornby, et al.? How are decisions about length of stay determined? What services are offered to promote permanency? Likely factors affecting permanency include, but are not limited to, agency preference for relative placements, adoption, or guardianship, operational definitions of relatives, decision-making regarding recruitment and selection of relative and non-relative placements, projected length of placement, placement history, siblings, service and economic support systems for relative caregivers, and, if applicable, special planning or support activities for hard-to-place, special needs child(ren) or children with disabilities.

- **Well-being:** Well-being of the child(ren) must be a key concern in each relative placement situation, as it

should for non-relative placements. How do agencies and how will this project define and assess child well-being? Are activities for promoting child well-being altered or adjusted for children placed with relatives? How do the intra- and inter-familial tensions between the birth-parents and the relative caregiver affect the child's and family's well-being? What steps do agencies take to mitigate the potential negative impact of these tensions on the child's and family's well-being? Do removal standards for relative placements have a relationship to child well-being and are there reasons to expect that these standards should be different for relative placements versus non-relative placements? Likely factors related to child well-being include, but are not limited to psycho-social, medical, educational, and dental assessment, available therapeutic and support services, and placement monitoring and review.

In summary, NCCAN/CB expects that the types of policies, procedures, and practices surrounding kinship care will have consequences for the achievement of the desired outcomes. NCCAN/CB is interested in developing and describing viable models of the use of kinship care for children. These models of innovative kinship care use should include but are not limited to (1) policies and procedures for decision-making about who will go into kinship care and for how long; (2) requirements for licensing or certification specific to kinship homes; and (3) patterns of training and/or supervision, patterns of support services, systems of economic support (including the impact of the Temporary Aid to Needy Families [TANF]) for kinship care, and other aspects of services and supports as well as the economic costs associated with kinship care to the agency, as these affect the safety, permanency and well-being of the children.

It is the intent of NCCAN/CB to select replicable models which, based on the evaluations, are indicative of having the potential of producing desirable outcomes in terms of child safety, permanency, and well-being. Information about these models will be made available to the field and additional demonstration funds may be made available through a later competition for replications and a cross-site national evaluation.

Minimum Requirements for Project Design: As part of addressing the evaluation criteria outlined in Part II of this announcement, each applicant for a demonstration project must address the following items in the program narrative section of the proposal.

Objectives

- State the goals and objectives of the project in specific, measurable terms. At a minimum, goals must address safety, permanence, and well-being.

- Pinpoint the problem or issue that needs to be addressed and establish the need for assistance; provide supporting documentation or other data from concerned interests other than the applicant, as appropriate.

- Identify the conceptual or theoretical framework used as the basis for the proposed approach and provide a review of the relevant literature and current initiatives related to kinship placement that supports the model selected.

- Provide an overview of existing kinship care policies, procedures and practices in the State, Tribe or community in which the proposed demonstration will operate, including how they relate to the use of kinship care for the safety, permanency and well-being of the children. Describe the regulatory, policy, administrative and procedural changes/innovations, if any, which are to be introduced as part of this demonstration.

- Define each component of the proposed project, describe how it relates to the other components, and articulate the theoretical basis or the assumptions that lead to the expectation that the proposed project components will result in the expected project outcomes for children and families.

- Identify the location(s), community and the specific population to be included in the proposed project. Provide assurance that the number of clients served in the demonstration project will be adequate for testing of the theoretical assumptions of the project and conducting the evaluation.

- Indicate the relationship of this proposed demonstration to any Title IV-E Waiver for Assisted Guardianship or other waivers in your State.

Approach

- Describe the approach in detail and point out its unique features including sensitivity to cultural dynamics, child and family outcomes, and the community setting.

- Describe the criteria and procedures to be developed and implemented to assure the safety, permanency and well-being of the children in kinship care placement in the project and detail specific plans for revision of State or Tribal standards, regulations, procedures, and existing materials as necessary.

- Make provision for clearly demonstrating the degree of

implementation and for describing the outcomes of various policies and procedures for kinship care, including but not limited to requirements for decision-making about placement and length of stay, licensing or certification of kinship homes, patterns of training and/or supervision, patterns of support services, and/or systems of economic support. It should also make provision to assess the degree of success for kinship care arrangement in meeting goals related to the safety, permanency and well-being of the children as well as the economic costs associated with it to the agency.

- Make sure that the proposed approach is theoretically and conceptually sound, reflecting the current state of knowledge in this field, with sufficient detail on various project components (activities, milestones etc.), and related indicators and measures to allow accurate determination of its feasibility and evaluability.

- Propose an evaluation plan using the evaluation paradigm described in the background information section and discuss the criteria to be used to evaluate the success of achieving programmatic goals in terms of the stated objectives and approach of the project. Identify the kinds of data to be collected and maintained and the proposed methods for analysis, both for documenting the types of procedures and services to be implemented as well as for documenting the outcomes of such procedures and services. Include description of any planned use of data available through your State's automated child welfare information system.

- Outline the services, policies, or procedures which singly or in combination are expected to lead to positive child safety, permanency and well-being outcomes; and propose methods for measuring each component of the model.

- Provide assurance that at least 25% of the proposed demonstration grant budget be set aside for evaluation efforts. This evaluation may be conducted internally, or externally, by an independent evaluation unit within an agency, a university, or an independent evaluation contractor.

- Provide assurance that, in addition to the project-specific evaluation, project and evaluation staff will cooperate in any cross-project data collection or other collaborative efforts for establishing common measures or data collection tools which allows for aggregation of results across projects. Technical assistance for common data collection and evaluations will be made available.

- Describe a plan of action and timeline for the project.

- Cite factors which might create barriers to the implementation of the project and plans for overcoming those barriers.

- Include a staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels or steering committee involved or proposed; describe the responsibilities, activities, and/or training plans for each (if applicable).

- Describe the nature and extent of the collaboration and the responsibilities of the respective agencies in carrying out the activities identified in the work-plan if the proposed project is a collaborative effort.

Results or Benefits Expected

- Identify the results and benefits to be derived by clients, community, agency, and NCCAN/CB as a result of the implementation and evaluation of this project. Discuss how project findings are likely to improve practice and inform policy.

- Describe strategies for disseminating findings and products to other practitioners in the field.

- Justify proposed project costs in view of the expected results and benefits.

- Provide assurance that all reports will be prepared in an NCCAN-suggested format and copies of final reports and other products shall be provided to the Clearinghouse on Child Abuse and Neglect Information. Also, provide assurance that grantees will make all necessary materials and documentation available if the model is selected for replication upon completion of the project.

Staff Background and Organization Experience

- Identify the educational and professional background of the project director and key project staff, including the individual(s) responsible for the evaluation (a curriculum veta for each key staff must be included with the application and letters of commitment as applicable).

- Describe the organization's ability to administer and implement the project effectively and efficiently. Provide letters of commitment from proposed collaborating organizations.

- Identify the author(s) of this proposal and the role(s) of the author(s) on the proposed project.

- Describe the relationships between the proposed project and other Federally assisted work planned,

anticipated, or underway by the applicant.

- Provide assurance that (1) at least one key staff person will attend an annual three-day grantee meeting in Washington, DC and (2) at least one key staff person and the evaluator will attend a two-day annual technical assistance meeting in Washington D.C. on data collection and evaluation procedures.

Project Duration: The length of the project for the demonstration projects must not exceed a three-year period.

Federal Share of Project Cost: The maximum Federal share of the project is not to exceed \$200,000 for the first 12-month budget period or a maximum of \$600,000 for a period of three years.

Matching Requirement: The project must provide a non-Federal share or match of at least 25% of the total approved cost of the project. The total approved cost of the project is the sum of the Federal share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a three year project requesting \$600,000 in Federal funds (based on an award of \$200,000 per 12-month budget period) must include a match of at least \$200,000 over three years (\$67,667 per 12-month budget period).

Anticipated Number of Projects to be Funded: It is anticipated that up to nine demonstration projects will be funded.

1.04 School-Based Child Maltreatment Prevention, Identification and Treatment Services

Eligible Applicants: Public or private nonproject agencies or organizations are eligible to apply under this priority area in collaboration with preschool programs, particularly Head Start and publicly supported early childhood development centers, elementary school systems and secondary school systems that mutually benefit from the cooperative development and delivery of services proposed under this project.

Purpose: The intent of this priority area is the development and demonstration of service models that address the prevention, identification and treatment of child abuse and neglect by communities in cooperation with preschool, elementary and secondary school systems, in response to CAPTA, as amended by Pub. L. 104-235 (1996). Applicants may target preschool during the first year of this project and elementary and secondary schools during the second and third years respectively or all three school systems throughout the project period.

Through the prevention aspects of this priority area, NCCAN seeks to promote the safety and minimize the risk of harm to preschool, elementary school, and secondary school children. One approach to focusing on preschool children is funding community partnerships and innovative training of staff in Head Start and other preschool programs in the areas of positive discipline, recognizing signs of child abuse and neglect, alternatives to physical punishment, and behavior management practices, in support of Head Start performance standards, as applicable. Another approach could involve use of the professional expertise of school social workers in the service delivery proposed. Expected outcomes of this project across all three target school systems should include effective use of protective strategies by staff in their interactions with students and in their training roles with parents, better identification and referral of child abuse and neglect cases, and higher sensitivity among staff to issues of cultural diversity as they affect child behavior management practices and questions of abuse and neglect.

Addressing the intervention aspects of the legislation, demonstration activities under this project should include innovative child abuse and neglect intervention services in the form of individual or group counseling, therapeutic intervention groups for children who witness violence and/or who are victims of abuse and neglect.

Background Information: Section 105(b)(1) of CAPTA, as amended by Pub. L. 104-235, authorizes the Secretary to award grants for projects which provide "educational identification, prevention and treatment services in cooperation with preschool, elementary and secondary schools." In addition, Title II of CAPTA supports State efforts to develop, operate, expand and enhance a network of community-based, prevention-focused, family resources and support programs that coordinate resources among all the agencies that currently deal with children and families, including educational institutions.

According to the findings of the *Third National Incidence Study of Child Abuse and Neglect*, (NIS-3), published in September 1996, schools are a frequent source of child abuse and neglect recognition: Thirty-four percent of the children included in the study under the "Harm Standard" receiving a CPS investigation and 69 percent of those not investigated but meeting the "Harm Standard" were identified by schools. Educators account for over 15 percent of all referrals to Child

Protective Service agencies in the latest National Child Abuse and Neglect Data System (NCANDS) data report (*Child Maltreatment 1995: Reports from the States to the National Center on Child Abuse and Neglect*).

As noted in the August 1995 Harvard Family Research Project working paper, *Challenges in Evaluating School-Linked Services: Toward a More Comprehensive Evaluation Framework*.

School linked services have emerged as one type of program model intended to give children greater access to needed social services and community supports * * * Yet the concept of linking schools with social services and community resources is not new. As Tyack (1992) points out, schools have always been "attractive targets for reformers seeking to improve the health and welfare of children * * * [They provide] sustained contact with children and a captive audience * * *" (p. 7).

Although this paper raises issues of resistance to schools as social service entities, such as distrust by a disenfranchised population of schools and reluctance of organizations to rework lines of authority to achieve collaboration, on a more basic level, "proponents of school-linked services maintain that delivering social services to children via schools makes sense because, of all public institutions, schools provide the most sustained and non-stigmatizing contact with children, and therefore the most access to them" (Koppich and Kirst, 1993; Tyack, 1992).

The Parent Partner Program, in Elmira, NY, designed to prevent child abuse and neglect by strengthening the connection among families, neighborhoods and schools, was part of the NCCAN-sponsored Community Lifelines project of Cornell University and the Elmira City School District. Its final year of Federal funding was 1994; an evaluation that year was generally positive (*Program Manual*, p. 24).

In their 1994 article on "The Mediating Effect of Good School Performance on the Maltreatment-Delinquency Relationship" (*Journal of Research in Crime and Delinquency* 31(1):62-91, February, 1994), based on research funded by NCCAN, authors Zingraff, Lieter, Johnson, and Meyers state that "maltreated children are at a significantly higher risk of delinquent involvement than the general school population"; however, "with the introduction of school outcome variables, physically abused children are no longer at a statistically elevated risk of delinquency." Their data suggest that positive school experiences can mitigate the effects of physical abuse and, to a lesser extent, neglect. "The potential of schools as intervention sites

derives from the concentration of children in them, which allows scarce resources to be stretched further * * *."

The U.S. Department of Education Office of Elementary and Secondary Education has recently completed a five year project, funding 18 early child education/violence counseling training programs directed by universities across the country. Thirteen of the 18 projects' recruitment efforts focused on current employees of Head Start, Early Start, and other early childhood education programs.

The Edna McConnell Clarke Foundation is sponsoring a "Community Partnerships" CPS reform initiative in sites within 4 States, designed "to enhance the ability of individual communities to keep children safe from harm and neglect." The role of the school as a community resource is especially key to the Jefferson County, Kentucky, site. Under the Kentucky Education Reform Act, "over 300 school-based Family Resource and Youth Service Centers have been developed which serve as mechanisms to identify and refer at risk families to Neighborhood Place centers." (*The Edna McConnell Clark Foundation Program for Children Strategy Statement*, March 1996). Health, mental health, child protective, employment and other such community services are all provided by the staff of the Neighborhood Place.

"The Rainbow House Handbook to a Violence Free Future: Choosing Non-Violence for Young Children" (A. Parry, M. Walker, C. Heim, Rainbow House/Arco Iris, Chicago, 1991) is one example of an educational curriculum on abuse prevention which was developed by The Rainbow House Training Institute for Choosing Non-Violence in Chicago, Illinois. The training institute, considered to be one of the first programs in the United States to address violence prevention with young children, provides training for Head Start staff, child care providers and parents. Initially supported by Administration on Children, Youth and Family funds, the program has subsequently received positive evaluation and attention as an effective approach.

Projects proposed under this priority area may either present innovative approaches or be replications of previously evaluated and promising models. In either case, proposed activities should build on previous research and evaluation findings. An evaluation component is required for each proposal submitted under this priority area. Applicants are referred to the National Clearinghouse on Child

Abuse and Neglect Information for access to the literature cited herein, as well as access to additional background and information on school involvement in child maltreatment prevention and intervention activities.

Minimum Requirements for Project Design: As part of addressing the evaluation criteria outlined in Part II of this announcement, each applicant must address the following items in the program narrative section of the proposal.

Objectives and Need for Assistance

- State the objectives of the project in specific, measurable terms.
- Pinpoint the problem or issue that needs to be addressed and establish the need for assistance; provide supporting documentation or other testimonies from concerned interests other than the applicant. Specifically, provide evidence of the ability to establish collaborative partnerships with related organizations and agencies, especially with the school systems, child care providers as well as the new Community-Based Family Resource and Support Grants authorized in Title II of Pub. L. 104-235, the Child Abuse Prevention and Treatment Act of 1996 (CAPTA), by attaching letters of commitment to the effect that such entities will participate in the proposed demonstration activities.
- Demonstrate an awareness of current initiatives in the field and how the approach being proposed would build on this work.
- Identify the theoretical framework of prevention or treatment used as the basis for the proposed model and provide a review of the relevant literature, demonstrating an awareness of the current status of child abuse and neglect prevention, identification and treatment efforts, at the State, local and community-based levels, particularly those which involve school-based programs and child care providers; include information about successful demonstration projects that may have implications for the proposed demonstration.
- Describe whether the proposed project replicates or modifies a previously evaluated model which addresses the identified need.
- Identify the precise location of the project, community, and population to be served by the proposed project.

Approach

- Describe the approach in detail and point out its unique features including collaboration with child care providers and other partners, sensitivity to cultural, sociological, psychological,

and ethnic dynamics which have affected the choice of approach.

- Describe a sound and workable plan of action and time-line which match the scope of the project and explain how the proposed work will be accomplished.
- Cite factors which might accelerate or delay this approach, giving acceptable reasons for taking this approach as opposed to others.
- Include an adequate staffing plan, listing Program Director duties and qualifications as well as other key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; describe the responsibilities, activities, and/or training plans for each (if applicable). If the proposed project is a collaboration, the application must describe the nature and extent of the collaboration and the responsibilities of the respective agencies in carrying out the activities identified in the work-plan.
- Propose an evaluation plan. Discuss the methods and criteria to be used to evaluate the results and benefits of the project in terms of the stated objectives of the project. Identify the kinds of data to be collected and maintained for this purpose. An external evaluator is required to carry out the evaluation. It is recommended that not less than 15 percent of the proposed budget be set aside for evaluation efforts.

Results or Benefits Expected

- Identify the results and benefits to be derived by clients, community, agency, and NCCAN as a result of the implementation and evaluation of this project. Discuss how project findings are likely to improve practice and inform policy.
- Justify proposed project costs in view of the expected results and benefits.
- Describe strategies for disseminating findings to other practitioners in the field.

Staff Background and Organization Experience

- Identify the educational and professional background of the project director and key project staff.
- Describe the organization's ability to administer and implement the project effectively and efficiently.
- Describe the organization's experiences in establishing linkages and collaborating with partners at the community level.
- Identify precisely the role of the author(s) of this proposal in relation to the work plan and administrative structure.

- Describe the relationships between the proposed project and other Federally assisted work planned, anticipated, or underway by the applicant.

- Provide assurance that at least one key staff person will attend an annual three-day meeting in Washington, DC.

- Provide assurance that all reports will be prepared in an NCCAN-suggested format and copies of final reports and other products shall be provided to the Clearinghouse.

Project Duration: The length of the project must not exceed a three-year period.

Federal Share of Project Cost: The maximum Federal share of this project is not to exceed \$100,000 for the first 12-month budget period, or a maximum of \$300,000 for a period of three years.

Matching Requirement: Grantees must provide a non-Federal share or match of at least 25 percent of the total approved cost. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a three-year project requesting \$300,000 in Federal funds (based on an award of \$100,000 per 12-month budget period) must include a match of at least \$100,000 (\$33,333 per 12-month budget period).

Anticipated Number of Projects to be Funded: It is anticipated that up to 7 projects will be funded.

CFDA Number: 93.670.

Part III. Information and Instructions for the Development and Submission of Applications

This part contains information and instructions for submitting applications in response to this announcement. Application forms are provided in Appendix A—ACF Uniform Discretionary Grant Application Form (ACF/UDGAF) and a checklist for assembling an application package is included in Section F. Please copy and use these forms in submitting an application.

Potential applicants should read this section carefully in conjunction with the information in the specific priority area under which the application is to be submitted. The priority area description are in Part II.

A. Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995 (Pub. L. 104-13), the Department is required to submit to the Office of Management and Budget (OMB) for review and approval any reporting and record-keeping requirements or program

announcements. This program announcement meets all information collection requirements approved for ACF grant applications under OMB Control Number 0970-0139.

B. Availability of Forms

Eligible applicants interested in applying for funds must submit a complete application including the required forms at the end of this program announcement in Appendix A. In order to be considered for a grant under this announcement, an application must be submitted on the Standard Form 424 (approved by OMB under Control Number 0348-0043). Each application must be signed by an individual authorized to act for the applicant and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs" (approved by OMB under control number 0348-0040). Applicants must sign and return the Standard Form 424B (approved by OMB Control Number 0348-0340) with their application. Applicants must provide a certification regarding lobbying (approved by OMB under Control Number 0348-0046). Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification (approved by OMB under control number 0348-0046). Applicants must sign and return the certification with their application.

Applicants must make the appropriate certification of their compliance with the Drug-free Workplace Act of 1988. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

Application must make the appropriate certification that they are not presently debarred, suspended or otherwise ineligible for an award. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

Applicants will be held accountable for the smoking prohibition in Pub. L. 103-227, Part C Environmental Tobacco Smoke (also known as the Pro-Children's Act of 1994). By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

C. Required Notification of the State Single Point of Contact

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

All States and Territories except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington, American Samoa and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applicants from these twenty one jurisdictions need take no action regarding E.O. 12372. Applicants for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this material (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline to comment on proposed new or competing continuation awards.

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations.

Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which may trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

A list of the Single Points of Contact for each State and Territory is included as Appendix B of this announcement.

D. Deadline for Submission of Applications

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, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Mail Stop 6C-462, Washington, DC 20447, Attention: Application for [insert Program Name]. 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 a.m. and 4:30 p.m., at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, SW., Washington, DC 20024, between Monday and Friday (excluding weekends and Federal holidays). *Any application received after 4:30 p.m. on the deadline date will not be considered for competition.* Applicants using express/overnight services should allow for two working days prior to the deadline date for receipt of applications. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

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

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

Extension of deadlines: ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., or when there is a 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.

E. Instructions for Preparing the Application and Completing Application Forms

Applications submitted for funds under this announcement are considered NEW APPLICATIONS, therefore, follow instructions in Appendix A for NEW APPLICATIONS.

The SF 424, 424A (approved by OMB under Control Number 0348-0044), 424B, and certifications are included in Appendix A. You should reproduce single-sided copies of these forms from the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page.

Please prepare your application in accordance with the following instructions:

1. SF 424 Page 1, Application Cover Sheet. Please read the following instructions before completing the application cover sheet. An explanation of each item is included. Complete only the items specified.

Top of Page. Enter the single priority area number under which the application is being submitted under only one priority area.

Item 1. Type of submission—Pre-printed on the form.

Item 2. Date Submitted and Applicant Identifier—Date application is submitted to ACYF and applicant's own internal control number, if applicable.

Item 3. Date Received by State—State use only (if applicable).

Item 4. Date Received by Federal Agency—Leave blank.

Item 5. Applicant Information Legal Name—Enter the legal name of the applicant organization. For applications developed jointly, enter the name of the lead organization only. There must be a single applicant for each application.

Organizational Unit—Enter the name of the primary unit within the applicant organization which will actually carry out the project activity. Do not use the name of an individual as the applicant. If this is the same as the applicant organization, leave the organizational unit blank.

Address—Enter the complete address that the organization actually uses to receive mail, since this is the address to which all correspondence will be sent. Do not include both street address and P.O. box number unless both must be used in mailing.

Name and telephone number of the person to be contacted on matters involving this application (include area code)—Enter the full name (including academic degree, if applicable) and

telephone number of a person who can respond to questions about the application. This person should be accessible at the address given here and will receive all correspondence regarding the application.

Item 6. Employer Identification Number (EIN)—Enter the employer identification number of the applicant organization, as assigned by the Internal Revenue Service, including, if known, the Central Registry System suffix.

Item 7. Type of Applicant—Self-explanatory.

Item 8. Type of Application—Check new application.

Item 9. Name of Federal Agency—ACYF/NCCAN/CB.

Item 10. Catalog of Federal Domestic Assistance Number and Title—Enter the Catalog of Federal Domestic Assistance (CFDA) number assigned to the program under which assistance is requested and its title, as indicated in the relevant priority area description.

Item 11. Descriptive Title of Applicant's Project—Enter the project title. The title is generally short and is descriptive of the project, not the priority area title.

Item 12. Areas Affected by Project—Enter the governmental unit where significant and meaningful impact could be observed. List only the largest unit or units affected, such as State, county, or city. If an entire unit is affected, list it rather than sub-units.

Item 13. Proposed Project—Enter the desired start date for the project and projected completion date.

Item 14. Congressional District of Applicant/Project—Enter the number of the Congressional District where the applicant's principal office is located and the number of the Congressional district(s) where the project will be located. If statewide, a multi-State effort, or nationwide, enter 00.

Items 15. Estimated Funding Levels. In completing 15a through 15f, the dollar amounts entered should reflect, for a 12-month budget period, the total amount requested.

Item 15a. Enter the amount of Federal funds requested in accordance with the preceding paragraph. This amount should be no greater than the maximum amount specified in the priority area description.

Items 15b-e. Enter the amount(s) of funds from non-Federal sources that will be contributed to the proposed project. Items b-e are considered cost-sharing or matching funds. The value of third party in-kind contributions should be included on appropriate lines as applicable.

Item 15f. Enter the estimated amount of income, if any, expected to be

generated from the proposed project. Do not add or subtract this amount from the total project amount entered under item 15g. Describe the nature, source and anticipated use of this income in the Project Narrative Statement.

Item 15g. Enter the sum of items 15a–15e.

Item 16a. Is Application Subject to Review By State Executive Order 12372 Process? Yes, except for the 23 jurisdictions listed above. Enter the date the applicant contacted the SPOC regarding this application. Select the appropriate SPOC from the listing provided at the end of Part III. The review of the application is at the discretion of the SPOC. The SPOC will verify the date noted on the application. If there is a discrepancy in dates, the SPOC may request that the Federal agency delay any proposed funding until September 1997.

Item 16b. Is Application Subject to Review By State Executive Order 12372 process? No.—Check the appropriate box if the application is not covered by E.O. 12372 or if the program has not been selected by the State for review.

Item 17. Is the Applicant Delinquent on any Federal Debt?—Check the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include audit disallowances, loans and taxes.

Item 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.—To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for signature of this application by this individual as the official representative must be on file in the applicant's office, and may be requested from the applicant.

Item 18a–c. Typed Name of Authorized Representative, Title, Telephone Number—Enter the name, title and telephone number of the authorized representative of the applicant organization.

Item 18d. Signature of Authorized Representative—Signature of the authorized representative named in Item 18a. At least one copy of the application must have an original signature. Use colored ink (not black) so that the original signature is easily identified.

Item 18e. Date Signed—Enter the date the application was signed by the authorized representative.

1. SF 424A, Budget Information—Non-Construction Programs. This is a form used by many Federal agencies. For this application, Sections A, B, C, E and F are to be completed. Section D does not need to be completed.

Sections A and B should include the Federal as well as the non-Federal funding for the proposed project covering the first year budget period.

Section A—Budget Summary. This section includes a summary of the budget. On line 5, enter total Federal costs in column (e) and total non-Federal costs, including third party in-kind contributions, but not program income, in column (f). Enter the total of (e) and (f) in column (g).

Section B—Budget Categories. This budget, which includes the Federal as well as non-Federal funding for the proposed project, covers the first year budget period if the proposed project period exceeds 12 months. It should relate to item 15g, total funding, on the SF 424. Under column (5), enter the total requirements for funds (Federal dollars in one column and non-Federal in the other) by object class category.

A separate, itemized, budget justification for each line item is required. The types of information to be included in the justification are indicated under each category. For multiple-year projects, it is desirable to provide this information for each year of the project. Applicants should refer to the Budget and Budget Justification information in the Program Narrative section of the ACF/UDGAF on page 27 (Item D) in Appendix A.

Personnel—Line 6a. Enter the total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included on line 6h, Other.

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

Fringe Benefits—Line 6b. Enter the total cost of fringe benefits, unless treated as part of an approved indirect cost rate.

Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Travel—6c. Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel or local transportation, which should be included on Line 6h, Other.

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

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

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

Supplies—Line 6e. Enter the total costs of all tangible expendable personal property (supplies) other than those included on Line 6d.

Justification: Specify general categories of supplies and their costs.

Contractual—Line 6f. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations, including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. If the name of the contractor, scope of work, and estimated total costs are not available or have not been negotiated, include on Line 6h, other.

Justification: Attach a list of contractors, indicating the names of the organizations, the purposes of the contracts, and the estimated dollar amounts of the awards as part of the budget justification. Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must complete this section (Section B, Budget Categories) for each delegate agency by agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide back-up documentation identifying the name of contractor, purpose of contract, and major cost elements. Applicants who anticipate procurement that will exceed \$5,000 (non-governmental entities) or \$25,000 (governmental entities) and are requesting an award without competition should include a sole-source justification in the proposal which at a minimum should include the basis for contractor's selection,

justification for lack of competition when competitive bids or offers are not obtained and basis for award cost or price. (**Note:** Previous or past experience with a contractor is not sufficient justification for sole source.)

Construction—Line 6g. Not applicable. New construction is not allowable.

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

Justification: Specify the costs included.

Total Direct Charge—Line 6i. Enter the total of Lines 6a through 6h.

Indirect Charges—6j. Enter the total amount of indirect charges (costs). If no indirect costs are requested, enter none. Generally, this line should be used when the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency.

Local and State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be charged again as direct costs to the grant.

Justification: Enclose a copy of the indirect cost rate agreement.

Total—Line 6k. Enter the total amounts of line 6i and 6j.

Program Income—Line 7. Enter the estimated amount, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount.

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

Section C—Non-Federal Resources. This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12 entitled Totals. In-kind contributions are defined in 45 CFR 74.51 and 45 CFR 92.3, as property or services which benefit a grant-supported project or program and which are contributed by non-Federal third

parties without charge to the grantee, the sub-grantee, or a cost-type contractor under the grant or sub-grant.

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

Section D—Forecasted Cash Needs, Not applicable.

Section E—Budget Estimate of Federal Funds Needed For Balance of the Project. This section should only be completed if the total project period exceeds 15 months.

Totals—Line 20. For projects that will have more than one budget period, enter the estimated required Federal funds for the second budget period (months 13 through 24) under column (b) First. If a third budget period will be necessary, enter the Federal funds needed for months 25 through 36 under (c) Second. Columns (d) and (e) would be used in the case of a 60 month project.

Section F—Other Budget Information.

Direct Charges—Line 21, Not applicable.

Indirect Charges—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.

Remarks—Line 23. If the total project period exceeds 12 months, you must enter your proposed non-Federal share of the project budget for each of the remaining years of the project.

3. Project Summary Description. Clearly mark this separate page with the applicant name as shown in item 5 of the SF 424, the priority area number as shown at the top of the SF 424, and the title of the project as shown in item 11 of the SF 424. The summary description should not exceed 300 words. These 300 words become part of the computer database on each project.

Care should be taken to produce a summary description which accurately and concisely reflects the application. It should describe the objectives of the project, the approaches to be used and the outcomes expected. The description should also include a list of major products that will result from the proposed project, such as software packages, materials, management procedures, data collection instruments, training packages, or videos. (Please note that audiovisuals should be closed captioned.) The project summary description, together with the information on the SF 424, will constitute the project abstract. It is the major source of information about the proposed project and is usually the first part of the application that the reviewers read in evaluating the application.

At the bottom of the page, following the summary description, type up to 10 key words which best describe the proposed project, the service(s) involved and the target population(s) to be covered. These key words will be used for computerized information retrieval for specific types of funded projects. Applicants should refer to the instructions in Appendix A under the Program Narrative section (Item A.1) regarding the project summary.

4. Program Narrative Statement. The Program Narrative Statement is a very important part of an application. It should be clear, concise, and address the specific requirements mentioned under the priority area description in Part II.

The narrative should provide information concerning how the application meets the evaluation criteria using the following headings for demonstration applications:

- (a) Objective and Need for Assistance
- (b) Approach
- (c) Results or Benefits Expected
- (d) Staff Background and Organization Experience

The narrative should be typed double-spaced on a single-side of an 8½" × 11" plain white paper, with 1" margins on all sides, using standard type sizes or fonts (e.g., Times Roman 12 or Courier 10). Applicants should not submit reproductions of larger size paper reduced to meet the size requirement. Applicants are requested not to send pamphlets, brochures, or other printed material along with their application as they pose copying difficulties. All pages of the narrative (including charts, references/footnotes, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with "Objectives" or "Objectives and Need for Assistance" as page number one.

The length of the application, including the application forms and all attachments, should not exceed 60 pages. Anything over the limit will not be reproduced and distributed to reviewers. A page is a single side of an 8½" × 11" sheet of paper. Applicants are requested not to send pamphlets, brochures or other printed material along with their application as these pose xeroxing difficulties. These materials, if submitted, will not be included in the review process if they exceed the page limit criteria. Each page of the application will be counted to determine the total length.

Applicants should respond to the Program Narrative instructions in Appendix A—Components section (Item A) as described below.

A.2. Objectives and Need for Assistance—This information is

addressed under the Objectives and Need for Assistance section (Part II.C.) of this announcement.

A.3. Results and Benefits Expected—This information is addressed in the Results and Benefits section (Part II.C.) of this announcement.

A.4. Approach—This information is addressed in the Approach section (Part II.C.) of this announcement.

A.5. Evaluation—This information is addressed in the Approach section (Part II.C.) of this announcement.

A.6. Geographic Location—This information is addressed in the Objectives and Need for Assistance section (Part II.C.) of this announcement.

A.7. Additional Information—This information is addressed in the Staff Background and Organization Experience section (Part II.C.) of this announcement.

Note: Item B. Noncompeting Continuation Applications and Item C. Supplemental Requests do not apply to this announcement.

5. Organizational Capability Statement. The Organizational Capability Statement should consist of a brief (two pages is suggested) background description of how the applicant organization (or the unit within the organization that will have responsibility for the project) is organized, the types and quantity of services it provides, and/or the research and management capabilities it possesses. This description should cover capabilities not included in the Program Narrative Statement. It may include descriptions of any current or previous relevant experience, or describe the competence of the project team and its demonstrated ability to produce a final product that is readily comprehensible and usable. An organization chart showing the relationship of the project to the current organization must be included.

6. Assurances/Certifications. Applicants are required to file an SF 424B, Assurances—Non-Construction

Programs and the Certification Regarding Lobbying. Both must be signed and returned with the application. In addition, applicants must certify their compliance with: (1) Drug-free Work-place Requirements; and (2) Debarment and Other Responsibilities. Copies of the assurances/certifications are reprinted at the end of this announcement and should be reproduced, as necessary. A duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances/certifications. A signature on the SF 424 indicates compliance with the Drug-free Work-place Requirements, and Debarment and Other Responsibilities certifications.

A signature on the application constitutes an assurance that the applicant will comply with the pertinent Departmental regulations contained in 45 CFR part 74.

F. Checklist for a Complete Application

The checklist below is for your use to ensure that your application package has been properly prepared.

- One original, signed and dated application, plus two copies. Applications for different priority areas are packaged separately;
- Application is from an organization which is eligible under the eligibility requirements defined in the priority area description (screening requirement);
- Application length does not exceed 60 pages, unless otherwise specified in the priority area description. A complete application consists of the following items in this order:
 - Application for Federal Assistance (SF 424, REV 4-92);
 - A completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424;
 - Budget Information-Non-Construction Programs (SF 424A);
 - Budget justification for Section B-Budget Categories;

- Table of Contents;
- Letter from the Internal Revenue Service to prove non-profit status, if necessary;
- Copy of the applicant's approved indirect cost rate agreement, if appropriate;
- Project summary description and listing of key words;
- Program Narrative Statement (See Part III, Section D);
- Organizational capability statement, including an organization chart;
- Any appendices/attachments;
- Assurances-Non-Construction Programs (Standard Form 424B);
- Certification Regarding Lobbying.

G. The Application Package

Each application package must include an original and two copies of the complete application. Each copy should be stapled securely (front and back if necessary) in the upper left-hand corner. All pages of the narrative (including charts, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with page one. In order to facilitate handling, please do not use covers, binders or tabs. Do not include extraneous materials as attachments, such as agency promotion brochures, slides, tapes, film clips, minutes of meetings, survey instruments or articles of incorporation.

Do not include a self-addressed, stamped acknowledgment card. All applicants will be notified automatically about the receipt of their application. If acknowledgment of receipt of your application is not received within two weeks after the deadline date, please notify the ACYF Operations Center by telephone at 1-800-351-2293.

Dated: May 8, 1997.

Olivia A. Golden,
Principal Deputy Assistant Secretary for
Children and Families.

BILLING CODE 4184-01-M

Appendix A

**APPLICATION FOR
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District </div> <div style="width: 45%;"> H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____ </div> </div>	
8. TYPE OF APPLICATION: <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> <div style="display: flex; justify-content: space-between; font-size: small;"> <div>A. Increase Award B. Decrease Award C. Increase Duration</div> <div>D. Decrease Duration Other (specify): _____</div> </div>			
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant b. Project	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? 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	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
c. State	\$ _____ .00		
d. Local	\$ _____ .00		
e. Other	\$ _____ .00		
f. Program Income	\$ _____ .00		
g. TOTAL	\$ _____ .00		
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.			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

Previous Edition Usable
Authorized for Local Reproduction

Standard Form 424 (REV 4-92)
Prescribed by OMB Circular A-102

Instructions for the SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

Item and Entry

1. Self-explanatory.
2. Date application submitted to Federal agency (or State, if applicable) & 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 allowances, 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-M

OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(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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Prescribed by OMB Circular A-102

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

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Standard Form 424A (Rev. 4-92) Page 2

Instructions for the SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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, Column (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 function of 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 of each line in Column (b).

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

sheet is used, the first page should provide the summary totals by programs.

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

For *new applications*, leave 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 increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the total 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 direct cost.

Line 6k—Enter the total of amounts of 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 State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agency 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 in Columns (b), (c), and (d).

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

Assurances—Non-Construction Programs

Public reporting burden for this collection of information is estimated to average 15

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

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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 authorizing 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 to 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 non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

8. Will comply, as applicable, with 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 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (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 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

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

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Program Narrative

This program narrative section was designed for use by many and varied programs. Consequently, it is not possible to provide specific guidance for developing a program narrative statement that would be appropriate in all cases. Applicants must refer the relevant program announcement for information on specific program requirements and any additional guidelines for preparing the program narrative statement. The following are general guidelines for preparing a program narrative statement.

The program narrative provides a major means by which the application is evaluated and ranked to compete with other applications for available

assistance. It should be concise and complete and should address the activity for which Federal funds are requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other information considered to be relevant. Awarding offices use this and other information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources directly related to the proposed project from those which will not be used in support of the specific project for which funds are requested.

Cross-referencing should be used rather than repetition. ACF is particularly interested in specific factual information and statements of measurable goals in quantitative terms. Narratives are evaluated on the basis of substance, not length. Extensive exhibits are not required. (Supporting information concerning activities which will not be directly funded by the grant or information which does not directly pertain to an integral part of the grant funded activity should be placed in an appendix.) Pages should be numbered for easy reference.

Prepare the program narrative statement in accordance with the following instructions:

- Applicants submitting new applications or competing continuation applications should respond to Items A and D.
- Applicants submitting noncompeting continuation applications should respond to Item B.
- Applicants requesting supplemental assistance should respond to Item C.

A. Project Description—Components

1. Project Summary/Abstract

A summary of the project description (usually a page or less) with reference to the funding request should be placed directly behind the table of contents or SF-424.

2. Objectives and Need for Assistance

Applicants must clearly identify the physical, economic, social, financial, institutional, or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation such as

letters of support and testimonials from concerned interests other than the applicant may be included. Any relevant data based on planning studies should be included or referenced in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the narrative, the applicant may volunteer or be requested to provide information on the total range of projects currently conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

3. Results or Benefits Expected

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood child care center, describe who will occupy the facility, who will use the facility, how the facility will be used, and how the facility will benefit the community which it will serve.

4. Approach

Outline a plan of action which describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors which might accelerate or decelerate the work and state your reason for taking this approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the number of people to be served and the number of microloans made. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

Identify the kinds of data to be collected, maintained, and/or disseminated. (Note that clearance from the U.S. Office of Management and Budget might be needed prior to an information collection.) List organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

5. Evaluation

Provide a narrative addressing how you will evaluate (1) the results of your project and (2) the conduct of your program. In addressing the evaluation of

results, state how you will determine the extent to which the program has achieved its stated objectives and the extent to which the accomplishment of objectives can be attributed to the program. Discuss the criteria to be used to evaluate results; explain the methodology that will be used to determine if the needs identified and discussed are being met and if the project results and benefits are being achieved. With respect to the conduct of your program, define the procedures you will employ to determine whether the program is being conducted in a manner consistent with the work plan you presented and discuss the impact of the program's various activities upon the program's effectiveness.

6. Geographic Location

Give the precise location of the project and boundaries of the area to be served by the proposed project. Maps or other graphic aids may be attached.

7. Additional Information (Include if Applicable)

Additional information may be provided in the body of the program narrative or in the appendix. Refer to the program announcement and "General Information and Instructions" for guidance on placement of application materials.

Staff and Position Data—Provide a biographical sketch for key personnel appointed and a job description for each vacant key position. Some programs require both for all positions. Refer to the program announcement for guidance on presenting this information. Generally, a biographical sketch is required for original staff and new members as appointed.

Plan for Project Continuance Beyond Grant Support—A plan for securing resources and continuing project activities after Federal assistance has ceased.

Business Plan—When federal grant funds will be used to make an equity investment, provide a business plan. Refer to the program announcement for guidance on presenting this information.

Organization Profiles—Information on applicant organizations and their cooperating partners such as organization charts, financial statements, audit reports or statements from CPA/Licensed Public Accountant, Employer Identification Numbers, names of bond carriers, contact persons and telephone numbers, child care licenses and other documentation of professional accreditation, information on compliance with federal/state/local government standards, documentation

of experience in program area, and other pertinent information. Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

Dissemination Plan—A plan for distributing reports and other project outputs to colleagues and the public. Applicants must provide a description of the kind, volume and timing of distribution.

Third-Party Agreements—Written agreements between grantees and subgrantees or subcontractors or other cooperating entities. These agreements may detail scope of work, work schedules, remuneration, and other terms and conditions that structure or define the relationship.

Waiver Request—A statement of program requirements for which waivers will be needed to permit the proposed project to be conducted.

Letters of Support—Statements from community, public and commercial leaders which support the project proposed for funding.

B. Noncompeting Continuation Applications

A program narrative usually will not be required for noncompeting continuation applications for nonconstruction programs. Noncompeting continuation applications shall be abbreviated unless the ACF Program Office administering this program has issued a notice to the grantee that a full application will be required.

An abbreviated application consists of:

1. The Standard Form 424 series (SF 424, SF 424A, SF-424B).
2. The estimated or actual unobligated balance remaining from the previous budget period should be identified on an accurate SF-269 as well as in Section A, Columns (c) and (d) of the SF-424A.
3. The grant budget, broken down into the object class categories on the 424A, and if category "other" is used, the specific items supported must be identified.
4. Required certifications.

A full application consists of all elements required for an abbreviated application plus:

1. Program narrative information explaining significant changes to the original program narrative statement, a description of accomplishments from the prior budget period, a projection of accomplishments throughout the entire remaining project period, and any other supplemental information that ACF informs the grantee is necessary.
2. A full budget proposal for the budget period under consideration with a full cost analysis of all budget categories.
3. A corrective action plan, if requested by ACF, to address organizational performance weaknesses.

C. Supplemental Requests

For supplemental assistance requests, explain the reason for the request and justify the need for additional funding. Provide a budget and budget justification *only* for those items for which additional funds are requested. (See Item D for guidelines on preparing a budget and budget justification.)

D. Budget and Budget Justification

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

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

The following guidelines are for preparing the budget and budget justification. Both federal and non-federal resources should be detailed and justified in the budget and narrative justification. For purposes of preparing the program narrative, "federal resources" refers only to the ACF grant for which you are applying. Non-Federal resources are all other federal and non-federal resources. It is suggested that for the budget, applicants use a column format: Column 1, object class categories; Column 2, federal budget amounts; Column 3, non-federal budget amounts, and Column 4, total amounts. The budget justification should be a narrative.

Personnel. Cost of employee salaries and wages.

Justification: Identify the project director or principal investigator, if

known. For each staff person, show name/title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

Fringe Benefits. Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, taxes, etc.

Travel. Costs of project related travel by employees of the applicant organization (does not include cost of consultant travel).

Justification: For each trip, show the total number of traveler(s), travel destination, duration of trip, per diem, mileage allowances, if privately owned vehicles will be used, and other transportation costs and subsistence allowances. Travel costs for key staff to attend ACF sponsored workshops as specified in this program announcement should be detailed in the budget.

Equipment. Costs of all non-expendable, tangible personal property to be acquired by the project where each article has a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the applicant organization for financial statement purposes, or (b) \$5000.

Justification: For each type of equipment requested, provide a description of the equipment, cost per unit, number of units, total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends.

Supplies. Costs of all tangible personal property (supplies) other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information which supports the amount requested.

Contractual. Costs of all contracts for services and goods except for those which belong under other categories such as equipment, supplies, construction, etc. Third-party evaluation contracts (if applicable) and contracts with secondary recipient organizations including delegate agencies and specific project(s) or businesses to be financed by the applicant should be included under this category.

Justification: All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. If procurement competitions were held or if a sole source procurement is being proposed, attach a list of proposed contractors, indicating the names of the organizations, the purposes of the contracts, the estimated dollar amounts, and the award selection process. Also provide back-up documentation where necessary to support selection process.

Note: Whenever the applicant/grantee intends to delegate part of the program to another agency, the applicant/grantee must provide a detailed budget and budget narrative for each delegate agency by agency title, along with the required supporting information referenced in these instructions.

Applicants must identify and justify any anticipated procurement that is expected to exceed the simplified purchase threshold (currently set at \$100,000) and to be awarded without competition. Recipients are required to make available to ACF pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, etc. under the conditions identified at 45 CFR Part 74.44(e).

Construction. Costs of construction by applicant or contractor.

Justification: Provide detailed budget and narrative in accordance with instructions for other object class categories. Identify which construction activity/costs will be contractual and which will be assumed by the applicant.

Other. Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to insurance, food, medical and dental costs (noncontractual), fees and travel paid directly to individual consultants, space and equipment rentals, printing and publication, computer use, training costs, including tuition and stipends, training service costs including wage payments to individuals and supportive service payments, and staff development costs.

Indirect Charges. Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or another cognizant Federal agency.

Justification: With the exception of most local government agencies, an applicant which will charge indirect costs to the grant must enclose a copy of the current rate agreement if the agreement was negotiated with a cognizant Federal agency other than the Department of Health and Human

Services (DHHS). If the rate agreement was negotiated with the Department of Health and Human Services, the applicant should state this in the budget justification. If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the pertinent DHHS Guide for Establishing Indirect Cost Rates, and submit it to the appropriate DHHS Regional Office. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not be also charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under this program announcement, the authorized representative of your organization needs to submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

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

Justification: Describe the nature, source and anticipated use of program income in the budget or reference pages in the program narrative statement which contain this information.

Non-Federal Resources. Amounts of non-Federal resources that will be used to support the project as identified in Block 15 of the SF-424.

Justification: The firm commitment of these resources must be documented and submitted with the application in order to be given credit in the review process.

Total Direct Charges, Total Indirect Charges, Total Project Costs. (self explanatory)

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public

(Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

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

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

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

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

Instructions for Certification

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

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

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

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

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass

transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate 1. (Grantees Others Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

Certification Regarding Lobbying*Certification for Contracts, Grants, Loans, and Cooperative Agreements*

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal

loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil

penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

Signature

Title

Organization

Date

BILLING CODE 4184-01-M

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.)

1. Type of Federal Action: <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		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For material change only Year _____ Quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known. Congressional District, if known			5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known		
6. Federal Department/Agency:			7. Federal Program Name/Description: CFDA Number, if applicable:		
8. Federal Action Number, if known:			9. Award Amount, if known: \$		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
Items 11 through 15 are deleted.					
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.			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
Federal Use Only:			Authorized for Local Reproduction Standard Form - LLL		

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

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

OMB State Single Point of Contact Listing*Arizona*

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315, FAX: (602) 280-8144

Arkansas

Mr. Tracy L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 1515 W. 7th St., Room 412, Little Rock, Arkansas 72203, Telephone: (501) 682-1074, FAX: (501) 682-5206

California

Grants Coordinator, Office of Planning & Research, 1400 Tenth Street, Room 121, Sacramento, California 95814, Telephone (916) 323-7480, FAX: (916) 323-3018

Delaware

Francine Booth, State Single Point of Contact Executive Department, Thomas Collins Building, P.O. Box

1401, Dover, Delaware 19903, Telephone: (302) 739-3226, FAX: (302) 739-5661

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Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717 14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone: (202) 727-6554, FAX: (202) 727-1617

Florida

Florida State Clearinghouse, Department of Community Affairs, 2740 Centerview Drive, Tallahassee, Florida 32399-2100, Telephone: (904) 922-5438, FAX: (904) 487-2899

Georgia

Tom L. Reid, III, Administrator, Georgia State Clearinghouse, 254 Washington Street, S.W.—Room 401J, Atlanta, Georgia 30334, Telephone: (404) 656-3855 or (404) 656-3829, FAX: (404) 656-7938

Illinois

Virginia Bova, State Single Point of Contact, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, FAX: (312) 814-1800

Indiana

Frances Williams, State Budget Agency, 212 State House, Indianapolis, Indiana 46204-2796, Telephone: (317) 232-5619, FAX: (317) 233-3323

Iowa

Steven R. McCann, Division for Community Assistance, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309, Telephone: (515) 242-4719, FAX: (515) 242-4859

Kentucky

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601-8204, Telephone: (502) 573-2382, FAX: (502) 573-2512

Maine

Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone: (207) 287-3261, FAX: (207) 287-6489

Maryland

William G. Carroll, Manager, State Clearinghouse for Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104, Baltimore, Maryland

21201-2365, Staff Contact: Linda Janey, Telephone: (410) 225-4490, FAX: (410) 225-4480

Michigan

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4266, FAX: (313) 961-4869

Mississippi

Cathy Malette, Clearinghouse Officer, Department of Finance and Administration, 455 North Lamar Street, Jackson, Mississippi 39202-3087, Telephone: (601) 359-6762, FAX: (601) 359-6764

Missouri

Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Room 760, Truman Building, Jefferson City, Missouri 65102, Telephone: (314) 751-4834, FAX: (314) 751-7819

Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone: (702) 687-4065, FAX: (702) 687-3983

New Hampshire

Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review Process, Mike Blake, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone: (603) 271-2155, FAX: (603) 271-1728

New Mexico

Robert Peters, State Budget Division, Room 190 Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone: (505) 827-3640

New York

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone: (518) 474-1605, FAX: (518) 486-5617

North Carolina

Chrys Baggett, Director, N.C. State Clearinghouse, Office of the Secretary of Admin., 116 West Jones Street, Raleigh, North Carolina 27603-8003, Telephone: (919) 733-7232, FAX: (919) 733-9571

North Dakota

North Dakota Single Point of Contact, Office of Intergovernmental Assistance, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0170, Telephone: (701) 224-2094, FAX: (701) 224-2308

Ohio

Larry Weaver, State Single Point of Contact, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411

Please direct correspondence and questions about intergovernmental review to: Linda Wise, Telephone: (614) 466-0698, FAX: (614) 466-5400.

Rhode Island

Kevin Nelson, Review Coordinator, Department of Administration, Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083

Please direct correspondence and questions to: Review Coordinator, Office of Strategic Planning.

South Carolina

Rodney, Grizzle, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street—Room 331, Columbia, South Carolina 29201, Telephone: (803) 734-0356, FAX: (803) 734-0356

Texas

Tom Adams, Governors Office, Director, Intergovernmental Coordination, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 463-1771, FAX: (512) 463-1888

Utah

Carolyn Wright, Utah State Clearinghouse, Office of Planning and Budget, Room 116, State Capitol, Salt Lake City, Utah 84114, Telephone: (801) 538-1535, FAX: (801) 538-1547

West Virginia

Fred Cutlip, Director, Community Development Division, W. Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone: (304) 558-4010, FAX: (304) 558-3248

Wisconsin

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

Wyoming

Matthew Jones, State Single Point of Contact, Office of the Governor, 200 West 24th Street, State Capital, Room 124, Cheyenne, Wyoming 82002, Telephone: (307) 777-7446, FAX: (307) 632-3909

Territories**Guam**

Mr. Giovanni T. Sgambelluri, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2930, Agana, Guam 96910, Telephone: 011-671-472-2285, FAX: 011-671-472-2825

Puerto Rico

Norma Burgos/Jose E. Caro, Chairwoman/Director, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (809) 727-4444, (809) 723-6190, FAX: (809) 724-3270, (809) 724-3103

North Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP, Telephone: (670) 664-2256, FAX: (670) 644-2272, Contact Person: Ms. Jacoba T. Seaman, Federal Programs Coordinator, Telephone: (670) 644-2289, FAX: (670) 644-2272

Virgin Islands

Nelson Bowry, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802

Please direct all questions and correspondence about intergovernmental review to: Linda Clarke, Telephone: (809) 774-0750, FAX: (809) 776-0069.

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Maryland

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Michigan

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