

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

[Program Announcement No. ACF/ACYF/HS-URP&RS 97-7]

Fiscal Year 1997 Discretionary Announcement for Head Start-University Research Projects, Head Start Research Scholars and Head Start Partnerships with Historically Black Colleges and Universities; Availability of Funds and Request for Applications

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

ACTION: Announcement of the availability of funds and request for applications for four priority areas related to Head Start.

SUMMARY: The Administration for Children and Families (ACF), Administration on Children, Youth and Families (ACYF) announces the availability of funds to support research activities in three research areas, two Head Start-University Partnerships (Translating Research into Practice and Mental Health Within Head Start) and Head Start Research Scholars, and one training area, Head Start Partnerships with Historically Black Colleges and Universities.

DATES: The closing time and date for receipt of applications is 5:00 p.m. (Eastern Time Zone) July 18, 1997. Applications received after 5:00 p.m. will be classified as late.

ADDRESSES: Mail applications to: Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, Va. 22201. Application for Head Start Discretionary Research: (Head Start-University Partnerships [Priority Area 1.01 or 1.02], Head Start Research Scholars, and Applications for Head Start Partnerships with Historically Black Colleges and Universities.)

Hand delivered, courier or overnight delivery applications are accepted during the normal working hours of 8:00 a.m. to 5:00 p.m., Monday through Friday, on or prior to the established closing date at: ACFY Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, Va. 22201. Application for Head Start Discretionary Research: (Head Start-University Partnerships or Head Start Research Scholars and Applications for Head Start Partnerships with Historically Black Colleges and Universities. (HBCUs))

FOR FURTHER INFORMATION CONTACT: The ACYF Operations Center, Technical

Assistance Team (1-800-351-2293), is available to answer questions regarding application requirements and to refer you to the appropriate contact person in ACYF for programmatic questions.

In order to determine the number of expert reviewers that will be necessary, if you are going to submit an application, *you must send a post card or call with the following information: the name, address, telephone and fax number, and e-mail address of the principal investigator and the name of the university at least four weeks prior to the submission deadline date to:* Administration on Children, Youth and Families, Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, VA 22201, (1-800-351-2293).

Part I. General Information, Purpose and Background

A. General Information

This announcement is divided into four parts, plus appendices:

Part I provides information on the purpose of the discretionary research effort and a discussion of issues particularly relevant to the research under this announcement.

Part II contains key information on the statutory authority and each of the four priority areas such as eligible applicants, project periods, special conditions and other information. Each priority area description is composed of the following sections:

- **Eligible Applicants**—This section specifies the type of organization which is eligible to apply under the particular priority area.

- **Purpose**—This section presents the basic focus and/or broad goal(s) of the priority area.

- **Background and Information**—This section briefly discusses the legislative background and/or the social context that supports the need for this particular priority area.

- **Program Narrative**—This section describes any necessary explanations of or deletions to the instructions given in the narrative section of Appendix A to make it appropriate for research applications or training applications for Historically Black Colleges and Universities.

- **Special Conditions**—This section lists any special conditions with which the applicant must comply in order for the application to be considered for review.

- **Project Duration**—This section specifies the maximum allowable length of time for the project period; it refers to the amount of time for which Federal funding is available

- **Federal Share of Project Costs**—This section specifies the maximum

amount of Federal support for the project.

- **Matching Requirement**—This section specifies the minimum non-Federal contribution, either through cash or in-kind match.

- **Anticipated Number of Projects to be Funded**—This section specifies the number of projects that ACYF anticipates it will fund in the priority area.

- **CFDA**—This section identifies the Catalog of Federal Domestic Assistance (CFDA) number and title of the program under which applications in this priority area will be funded.

Part III presents the criteria upon which the proposals will be reviewed and evaluated.

Part IV contains information for preparing the fiscal year 1997 application.

Appendix A includes the relevant forms, certifications, disclosures and assurances necessary for completing and submitting the application.

Appendix B lists the Single Points of Contact for Each State and Territory.

Appendix C lists the Early Head Start programs that do not have Early Head Start Local Research cooperative agreements.

B. Purpose

The purpose of this announcement is to (1) support research conducted by universities on behalf of faculty or doctoral-level graduate students who form partnerships with Head Start or Early Head Start programs in their communities for the purposes of contributing new knowledge or testing research applications which will improve services for low income young children and their families or (2) to utilize the capabilities of HBCUs to improve the quality and long term effectiveness of Head Start and Early Head Start by developing models of academic training and forming partnerships between HBCUs and Head Start (including Early Head Start) grantees and delegate agencies. Priority Areas 1.01 and 1.02 Head Start-University Partnerships provide support to Universities on behalf of faculty members in universities. Priority Area 1.03 Head Start Research Scholars provides support to universities on behalf of doctoral-level graduate students. Priority Area 1.04 provides support to Historically Black Colleges and Universities on behalf of faculty.

C. Background

Part of Head Start's mission is to serve as a national laboratory for exploring new ideas, testing and demonstrating state-of-the-art techniques, and

disseminating research findings for the purpose of improving services for low-income children and their families. In order to accomplish that mission, Head Start supports and encourages partnerships between Head Start programs (including Early Head Start) and universities. These partnerships present new opportunities to learn from each other, to test practical applications of theoretical concepts and translate research into practice.

Past competitions for either Head Start-University Partnerships or Head Start Research Scholars grants have been limited to Head Start programs that serve mostly three and four-year old children. However, in fiscal year 1995 Head Start initiated a new program, Early Head Start, which serves children and their families from the prenatal period to age three. Therefore, in fiscal year 1996, the Head Start-University Partnerships and Head Start Research Scholars announcement contained new opportunities to conduct research with this younger age group. Presently, there are 143 Early Head Start programs. Of these, 16 are participating in both the national research study and local research studies. These 16 sites are not eligible for partnerships under priority areas 1.01 and 1.02 in this announcement. However, partnerships may be formed with the other 127 Early Head Start sites that are presently funded by Head Start (See Appendix C) or any Head Start program that serves preschool children. For the purposes of this announcement, any further reference to Head Start is meant to include both Head Start and Early Head Start. Major issues for Head Start include improving the quality of all Head Start services, in particular for the purposes of this announcement, children's mental health, gathering recent information on the long-term effects of Head Start and exploring methods for enhancing the cognitive, language and social development of infants and toddlers. Improvement in quality includes the application of state-of-the-art techniques that have evolved from advanced theoretical concepts and new research findings. It also involves the conduct of new research to ensure that Head Start services remain at the cutting edge. For HBCUs, improvement in quality is directed at testing state-of-the-art training models.

Longitudinal research involves forming partnerships with Head Start programs to identify Head Start graduates and track their progress into elementary school. With new opportunities for research with younger populations, and ACYF's interest in longitudinal research on Head Start

graduates and testing or demonstrating state-of-the-art techniques in all Head Start services, Head Start's FY 1997 research priorities present a number of interesting research challenges.

Part II. Priority Areas

Statutory Authority

The Head Start Act, as amended, 42 U.S.C. 9801 *et seq.*

1.01 Head Start-University Partnerships—Translating Research Into Practice

Eligible Applicants: Universities and four-year colleges.

Purpose: (1) To improve the quality of Head Start/Early Head Start practices, particularly with regard to children's cognitive, language or social-emotional development; or (2) to conduct longitudinal research on Head Start graduates' status after entry into school.

Background Information: In addition to Head Start's primary role as a national program of comprehensive services for young low-income children and their families, it also serves as a national laboratory, which develops, demonstrates, and tests best practices based on scientifically sound research and encourages and supports both new research and the development of new methods for conducting research. Because of its recognition as a national, federally-sponsored program, and the access it provides to a multi-cultural, low-income population, Head Start has been a major source of research. This research, which has been conducted both with Federal support and other resources, constitutes a significant portion of the child development research literature that includes low-income and multi-cultural populations.

In the main, the ever-increasing body of child development research literature contains studies that fall into the domains of basic research and evaluation. Although these studies have made a significant contribution to our scientific, policy and general program knowledge, very little has reached service providers in terms of implementable applications within the context of their programs. Therefore, with the increase in our knowledge base, there is a concomitant increase in the gap between research and its translation into practice. Within this priority area, ACYF is interested in funding projects that translate theory-driven research into programmatic applications in partnership with the staff and families of Head Start programs. In addition to the translation of research into practice, these partnerships are intended to

demonstrate new ways of conducting research where the researchers, the program staff and program families work as a cooperative research team. Projects under this priority area will test theory-driven approaches intended to enhance children's cognitive, language and/or social-emotional development. These approaches may include those that focus on the child or focus on the primary caregiver(s) and the child as a dyad. The chosen approach should reflect theory and previous research and be documented through a review of the literature. In addition, the approach may be developed for appropriate use with either infants and toddlers or preschool children.

A second area of major concern is longitudinal data on Head Start graduates. Although Head Start is over thirty years old, little research has been accumulated on Head Start graduates' experiences and status after they enter school. Although the Head Start population of today is very different from the population thirty years ago, the data that exist on Head Start children's status as they enter school and their subsequent experiences are primarily based on the earlier population. What are the effects of Head Start children's status at kindergarten entry on their later school performance? How is Head Start children's performance in school influenced by the socio-economic environment of the school and the classroom? What variables within the child, family, Head Start program and community mediate success in school? These and other longitudinal questions are important areas for research.

Narrative: Please see the Program Narrative section in Appendix A to prepare this section of the application. Explanations of and exceptions to the narrative for the purposes of preparing a research proposal are listed below.

- **Objectives and Need for Assistance**—The justification for a research proposal is based upon a review of the literature and either the need for new research or for the application of basic research in an applied setting. Do not include letters of support or testimonials other than those required below under special conditions.

- **Results or Benefits Expected**—For research applications, it is the contribution to the field the research will make or the improvement in the quality of services for children and families.

- **Approach**—For research applications, this is the methodology section including design, sample size and description, identification of

measures, data collection schedules and types of analyses to be performed.

- *Evaluation*—This section is not needed for research applications.

- *Geographical Location*—Not needed.

- *Additional Information*—Use the sections on Staff and Position Data and Dissemination Plan only. Biographical sketches are needed for only the principal investigator or co-principal investigators and other key staff.

Special Conditions:

- The applicant must enter into a partnership with a Head Start or Early Head Start program for the purposes of conducting the research.

- The application must contain a letter from the Head Start or Early Head Start program certifying that they have entered into a partnership with the applicant and the application has been reviewed and approved by the Policy Council.

- The applicant must agree to attend two meetings of the research grantees each year including Head Start's Fourth National Research Conference in July of 1998 and June of 2000. The budget should reflect travel funds for such purposes.

- The applicant must apply the University's off-campus research rates for indirect costs.

Project Duration: The announcement for priority area 1.01 is soliciting applications for project periods up to three years. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government.

Federal Share of Project Costs: The maximum Federal share is approximately \$150,000 for the first 12-month budget period or approximately \$450,000 for a 3-year project period. The Federal share is *inclusive* of indirect costs.

Matching Requirement: There is no matching requirement.

Anticipated Number of Projects to be Funded: It is anticipated that 4–6 projects will be funded.

CFDA: 93.600 Head Start: Head Start Act, as amended.

1.02 Head Start-University Partnerships—Mental Health Within Head Start

Eligible Applicants: Universities and four-year colleges.

Purpose: The purpose of this priority area is to invite applicants to submit proposals for competitive cooperative agreements to develop and/or test applications of theory-based research or state-of-the-art techniques for the prevention, identification and/or treatment of young children's mental health disorders. The goal is to create a consortium of researchers focused on improving the provision of mental health services within Head Start programs.

A cooperative agreement is a funding mechanism which allows substantial Federal involvement in the activities undertaken with Federal financial support. Details of the responsibilities, relationships, and governance of the cooperative agreement will be spelled out in the terms and conditions of the award. The specific responsibilities of the Federal staff and grantee staff are tentatively listed below under Special Conditions and will be agreed upon prior to the award of each cooperative agreement.

Background and Information: Along with pediatric primary health care providers, Head Start, as a comprehensive service delivery program, serves as one of the earliest mechanisms for identification and intervention with a vulnerable population of young low-income children and their families. Whether one advocates the importance of early identification and treatment of "at-risk" children or children with actual manifestations of emotional and/or behavioral difficulties, or one stresses the fundamental importance of promoting "wellness" via preventive intervention approaches, it is clear that Head Start plays a crucial role in any such discussion.

Based upon a recent review of the research literature, there are key gaps in the extant knowledge base that call for additional research in this area. First, there is the need to improve the understanding of the identification of early onset mental, emotional or behavioral disabilities in this low-income population of young children, especially in comparison to the rates of identification of disabilities (which include mental health problems) in Head Start programs.

There also is the need to expand the understanding of the trajectories of social and emotional development in very young, low-income children,

including a better understanding of the prevalence of risk and protective factors. This is especially the case given the overarching context of dramatic increases in the frequency, intensity and severity of exposure to risk factors (e.g., community violence, substance abuse, physical and sexual abuse, neglect, etc.) for young children growing up in poverty.

Head Start programs are the point of entry for low-income children into community service delivery networks. Head Start programs, within the context of the larger network of other community service providers, can be organized to promote efficient, accurate, and high quality screening, assessment, intervention and/or referral, as necessary. The proactive universal screening of all enrolled children, that is required by Head Start Performance Standards, is one of the best mechanisms for ensuring the earliest detection of difficulties.

However, the effectiveness of such an approach undoubtedly will be a function of certain key programmatic indicators of quality mental health service provision, such as the use of on-site mental health professionals (versus outside mental health professionals and/or consultants), high ratios of mental health professional staff to children served, adequate educational/professional training of mental health staff, and strong, established collaborative relationships with relevant community mental health providers, as well as involvement of families and staff in the development and implementation of services that are appropriate and acceptable to the families and communities they serve.

Within this priority area, ACYF is interested in funding a Consortium of research projects that will generate new knowledge through research, that will advance our current level of understanding and that will facilitate efforts to improve the capacity of Head Start and related early childhood programs to deliver high quality, comprehensive, developmentally appropriate, prevention and intervention services to support the mental health of Head Start and other young children, families and staff, across the country. Lessons learned from these research projects would be linked with Head Start's training and technical assistance network to maximize benefits across all programs.

Mental health is defined broadly as "promoting the healthy emotional development of children, supporting family strengths, identifying early signs of emotional and behavioral difficulties, and assisting families with special

needs' (Yoshikawa and Knitzer, 1997). This definition incorporates a balanced emphasis that includes prevention as a cornerstone of early intervention efforts. While the primary focus is on the child, this ecological approach acknowledges the importance of addressing the mental health needs of the parents and staff, as well.

This Head Start/early childhood mental health research initiative builds upon a number of recent efforts, including: (1) The Task Force on Head Start and Mental Health supported by the American Orthopsychiatric Association; (2) the recently-completed Descriptive Study of the Head Start Health Component, which included an examination of mental health issues for a nationally-representative sample of Head Start programs and the families served; (3) the recently published Head Start Program Performance Standards, which stress collaborative relationships between programs and parents to share concerns about their children's mental health, identify appropriate responses to children's behavior, help parents to understand mental health issues, and create supportive environments and relationships in their homes and at Head Start; and (4) the recently completed study, *Lessons from the Field: Head Start Mental Health Strategies to Meet Changing Needs* (Yoshikawa and Knitzer, 1997), on the mental health service delivery systems of care in 73 Head Start programs across the country.

The Administration on Children, Youth and Families is currently in negotiation with the National Institute of Mental Health (NIMH) about the possibility of expanding the Consortium to include similar research projects currently supported by ACYF and/or NIMH. Applicants should be aware that there is also a possibility that NIMH may make available supplementary funding in subsequent grant years to facilitate a set of cross-cutting, coordinated research efforts within a consortium framework. Any supplemental funding would be contingent upon ACYF and NIMH review and approval of the consortium's workplan for the set of cross-cutting, coordinated research activities.

Narrative: Please see the Program Narrative Section in Appendix A to prepare the narrative section of the application. Explanations of and exceptions to the narrative for the purposes of preparing a research proposal are listed below.

• **Objectives and Need for Assistance**—The justification for a research proposal is based upon a review of the literature and either the

need for new research or for the application of basic research in an applied setting. Do not include letters of support or testimonials other than those required below under special conditions.

• **Results or Benefits Expected**—For research applications, it is the contribution to the field the research will make or the improvement in the quality of services for children and families.

• **Approach**—For research applications, this is the methodology section including design, sample size and description, identification of measures, data collection schedules and types of analyses to be performed.

• **Evaluation**—This section is not needed for research applications.

• **Geographical Location**—Not needed.

• **Additional Information**—Use the sections on Staff and Position Data and Dissemination Plan only. Biographical sketches are needed for only the principal investigator or co-principal investigators and other key staff.

Special Conditions:

• These are five-year cooperative agreement projects in which substantial Federal involvement is anticipated. ACYF is utilizing a cooperative agreement mechanism to support close communication, cooperation and coordination among participating projects. The specific respective responsibilities of Federal staff and the awardees are tentatively listed below under Cooperative Agreements and will be agreed upon prior to the award of each cooperative agreement.

• The applicant must enter into a partnership with a Head Start or Early Head Start program for the purposes of conducting the research.

• The application must contain a letter from the Head Start or Early Head Start program certifying that they have entered into a partnership with the applicant and the application has been reviewed and approved by the Head Start Program Policy Council.

• The applicant must agree to participate as a member of a Consortium of research projects focused on Head Start mental health efforts, which will include, but not necessarily be limited to, successful applicants under this announcement and similar research projects currently supported by ACYF and/or NIMH (e.g., the Head Start Quality Research Centers Consortium, related Head Start University Partnerships, among others). A Steering Committee will be formed consisting of principal investigators from each of the participating projects, as well as representatives from ACYF and NIMH.

The ACYF Federal Project Officer will serve as the chairperson for the Steering Committee. The Steering Committee will advise ACYF and NIMH on the design, implementation, and management of the cross-cutting research activities (e.g., common assessment approaches and intervention activities) which may be implemented by the participating projects. It will also provide a forum for the discussion of issues raised by the Consortium members, ACYF and NIMH. NIMH will provide logistical support for the cross-cutting work of the Consortium.

• The principal investigator and at least one other key staff member must agree to attend up to four (4), two-day meetings of the research grantees in the Washington, D.C. area each year including Head Start's Fourth National Research Conference in July of 1998 and June of 2000. The budget should reflect travel funds for such purposes. Participation in the broader consortium activities with other similar research projects, as described above, likely will involve approximately two of the four annual meetings.

• The applicant must apply the University's off-campus research rates for indirect costs.

Cooperative Agreements:

The following represents a tentative list of the responsibilities under the cooperative agreement.

1. Responsibilities of the Grantee

The Grantee

• Enters into a partnership with a Head Start or Early Head Start program for the purposes of conducting research, including certification of review and approval of the application by the Policy Council.

• Conducts a local research study which develops and/or tests applications of theory-based research or state-of-the-art techniques for the prevention, identification and/or treatment of children's mental health disorders.

• Participates as a member of the Consortium of research projects focused on Head Start mental health efforts, which will include, but not necessarily be limited to, successful applicants under this announcement and similar research projects currently supported by ACYF and/or NIMH, such as the Head Start Quality Research Centers, and Head Start University Partnership research grants, among others.

• Agrees to participate in a Consortium governance structure consisting of a steering committee chaired by the ACYF Federal Project Officer, and including principal

investigators from each of the participating projects, as well as representatives from ACYF and NIMH.

- Agrees to participate in the design and testing of a Consortium workplan, consisting of a set of cross-cutting, coordinated research activities, and to consider participation in the implementation of this Consortium workplan, contingent upon ACYF and NIMH review and approval, should supplementary funding become available in subsequent years.

2. Responsibilities of the Federal Staff

The Federal Staff

- Provide guidance in the development of the Consortium workplan, including review and decision-making about the feasibility of implementing the workplan, should supplementary funding become available in subsequent years.

- Participate as members of the Consortium, including Chair of the steering committee, and on any policy or working groups established at the Consortium level to facilitate the accomplishment of project goals.

- Facilitate communication among Consortium members, including research partners and Federal staff, the Head Start training and technical assistance network, the Quality Research Centers Consortium, and related Head Start University Partnerships.

- Provide logistical support to facilitate conferences, meetings, special consultation activities, commissioned papers, and meetings of the Consortium.

Project Duration: The announcement for priority area 1.02 is soliciting applications for project periods up to five years. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for five years. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the five-year project period, will be entertained in subsequent years on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government. Criteria for continuation of funding beyond the first three years may include participation in the cross-cutting, coordinated research activities developed through the consortium framework.

Federal Share of Project Costs: The maximum Federal share for the base cooperative agreements is approximately \$200,000 for the first 12-month budget period or a maximum of

\$1,000,000 for a five-year project period. (The Federal share is *inclusive* of indirect costs.) In addition to the base funding level of each cooperative agreement, there is the possibility that NIMH may make available supplemental funds in subsequent years to some or all of the grantees, through a collaborative, interagency agreement, to support a potential set of cross-cutting, coordinated research activities developed during the first year of the project period. These supplements would be subject to the availability of NIMH funds and contingent upon NIMH review and approval of a consortium workplan for the set of cross-cutting, coordinated research activities.

Matching Requirement: There is no matching requirement.

Anticipated Number of Projects to be Funded: It is anticipated that 4–6 projects will be funded.

CFDA: 93.600 Head Start: Head Start Act, as amended.

1.03 Support for Graduate Students: The Head Start Research Scholars Program

Eligible Applicants: Institutions of higher education on behalf of qualified doctoral candidates enrolled in the sponsoring institution. To be eligible to administer the grant on behalf of the student, the institution must be fully accredited by one of the regional accrediting commissions recognized by the Department of Education and the Council on Post-Secondary Accreditation. In addition, the specific graduate student on whose behalf the application is made must be identified and any resultant grant award is not transferable to another student. Funds from this grant may not be used to make any payments to other students at the university.

Purpose: To provide support for graduate students to encourage the conduct of research with Head Start populations which will contribute to the knowledge base for improving services for Head Start children and families.

Background and Information: A large body of literature exists on the early years of the Head Start program. A significant number of these studies are dissertations and other research conducted by graduate students. Many of these graduate students continued to make significant contributions to Head Start as they pursued their careers. As Head Start has continued to grow, its population has become more diverse and societal problems have become more complex. In order to meet the challenges Head Start faces today, it is more than ever in need of the information that only sophisticated

research conducted by well trained researchers can provide. Therefore, as part of a research capacity building effort, Head Start is interested in supporting doctorate-level graduate students with diverse backgrounds and from diverse fields to conduct research in Head Start programs.

A new generation of Head Start research is needed that recognizes the great diversity among Head Start programs and the populations which it serves. Although Head Start delivers a core set of services which are defined by the Head Start Program Performance Standards, there is wide variability across programs in terms of the methods by which these services are delivered. Within programs, moreover, children and families vary in their levels of functioning, ethnicity and other variables which interact with program interventions. The Head Start population offers a unique opportunity for research which will contribute to understanding the differences in this diverse population and how to effectively tailor services and interventions for children and families with different characteristics. Research is needed on the particular learning styles, the cognitive and social development, and the developmental trajectories of children as well as on indicators of family functioning as they are manifested in specific cultural and/or linguistic groups, children with specific disabilities, and families at different levels of functioning. In addition, suitable measures of child, adult and family functioning must be identified and adapted for specific subgroups of this diverse population. ACYF is interested in supporting doctoral-level students, through their sponsoring institutions, who are now conducting or wish to conduct research on the Head Start population, and which will contribute to our knowledge about the best approaches for delivering services to diverse populations. Doctoral-level graduate students who are representative of Head Start's diverse populations are particularly encouraged to apply. Research projects include independent studies conducted by the graduate students or well-defined portions of a larger study currently being conducted by a principal investigator holding a faculty position and for which the graduate student will have primary responsibility.

Narrative: Please see the Program Narrative section in Appendix A to prepare the narrative section of the application. Explanations of and exceptions to the narrative for the

purposes of preparing a research proposal are listed below.

- **Objectives and Need for Assistance**—The justification for a research proposal is based upon a review of the literature and either the need for new research or for the application of basic research in an applied setting. Do not include letters of support or testimonials other than those required below under special conditions.

• **Results or Benefits Expected**—For research applications, it is the contribution to the literature the research will make or the improvement in the quality of services for children and families.

• **Approach**—For research applications, this is the methodology section including design, sample size and description, identification of measures, data collection schedules and types of analyses to be performed.

• **Evaluation**—This section is not needed for research applications.

• **Geographical Location**—Not needed.

• **Additional Information**—Use the sections on Staff and Position Data and Dissemination Plan only. Biographical sketches are needed for only the principal investigator or co-principal investigators.

Special Conditions:

- The applicant must enter into a partnership with a Head Start or Early Head Start program for the purposes of conducting the research.

- The application must contain a letter from the Head Start program certifying that they have entered into a partnership with the applicant and the application has been reviewed and approved by the Policy Council.

- The applicant must agree to attend one meeting of the research grantees each year and Head Start's Fourth National Research Conference in July of 1998. The budget should reflect travel funds for such purposes.

- Considering the size of the grant, the university must waive indirect costs.

- A university faculty member must serve as a mentor to the graduate student. The application must include a letter from the faculty member stating that s/he has reviewed and approved the proposal and a description of how the faculty member will monitor the student's work.

- Contact information, including an e-mail address, for the graduate student applicant must be included in the proposal.

- The proposal must be written by the graduate student.

Project Duration: The announcement for priority area 1.03 is soliciting

applications for project periods up to two years. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for two years. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the two-year project period, will be entertained in the subsequent year on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government.

Federal Share of Project Costs: The maximum Federal share is not to exceed \$15,000 for the first 12-month budget period or a maximum of \$30,000 for a 2-year project period.

Matching Requirement: There is no matching requirement.

Anticipated Number of Projects to be Funded: It is anticipated that 10 projects will be funded. No individual university will be funded for more than one candidate unless 10 applications from different institutions do not qualify for support.

CFDA: 93.600 Head Start: Head Start Act, as amended.

1.04 Head Start Partnerships With Historically Black Colleges and Universities

Eligible Applicants: Historically Black Colleges and Universities (HBCUs) as defined in Executive Order 12677, which offer courses of study in the areas of human services delivery, early childhood education and care, health care services, community development and/or human resource development.

Purpose: Announcement of financial assistance to be competitively awarded to Historically Black Colleges and Universities to utilize the capabilities of HBCUs to improve the quality and long term effectiveness of Head Start and Early Head Start by developing models of academic training and forming partnerships between HBCUs, and Head Start (including Early Head Start) grantees and delegate agencies.

Background Information: The overall goal of Head Start is to bring about a greater degree of social competence in the children of low-income families. In order to accomplish this goal, Head Start provides comprehensive services to low-income children and their families. Head Start enhances children's physical, intellectual, social and emotional development. It supports parents in their efforts to fulfill their parental roles and provides for their involvement in implementing the Head Start program. Another goal of Head Start is to strengthen community

supports for families with young children. Early Head Start provides comprehensive services to pregnant women, infants and toddlers.

Under this announcement, priority will be given to those HBCUs that indicate that they have formed partnerships with one or more Head Start or Early Head Start grantee and delegate agencies to provide training and mentorship to the Head Start and Early Head Start agencies.

The partnership agreements must be beneficial to each partner, that is, HBCUs must benefit and participating Head Start and Early Head Start grantees must benefit. Partnership agreements can take many forms; however, at a minimum they must provide academic training for a specified number of Head Start/Early Head Start staff members. For example, a Head Start grantee may form a partnership with an HBCU that agrees to provide training for all Head Start staff members; including food service workers, classroom staff, home visitors and management staff. Another HBCU may agree to train mental health staff at several grantees, and provide modeling of sound child development practices with follow-up training and mentoring for center-based staff that may want to improve the overall learning environment of their classrooms. Other Head Start grantees may form partnerships with HBCUs that would provide training for all classroom staff, home visitors and Head Start Family Child Care providers that would lead to academic credit. *In addition, if the Head Start grantee has formed partnerships with local child care agencies, training by the HBCU can be offered to those child care staff members.*

Narrative: Please see the Program Narrative Section in Appendix A to prepare the narrative section of the application.

Special Conditions:

- The applicant must provide letters of commitment from the Head Start grantee(s) and relevant child care agencies.

- The applicant must currently offer credit courses in the areas of community Mental Health, Mental Health, Education and Early Childhood Development, including infant/toddler development, social work and social services and human resources development.

- The planning period before implementation of the program must not be more than five months.

Project Duration: The announcement for priority area 1.04 is soliciting applications for project periods up to four years. Awards, on a competitive

basis, will be for a one-year budget period, although project periods may be for four years. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the four-year project period, will be entertained in the subsequent years on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government.

Federal Share of Project Costs: The maximum Federal share is not to exceed \$125,000 for the first 12-month budget period or a maximum of \$500,000 for a 4-year project period.

Matching Requirement: There is no matching requirement. However, applicants are encouraged to provide non-Federal contributions to the project.

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

Part III. Criteria and Review Process

Two sets of criteria are presented below. In order to select successful applicants, the criteria for Head Start-University Partnerships and Head Start Research Scholars will be applied by the reviewers to the applicant's submissions in priority areas 1.01, 1.02 and 1.03. The criteria for HBCU's will be applied to priority area 1.04.

A. Criteria

Head Start-University Partnerships and Head Start Research Scholars

1. Objectives and Significance—25 points

- The extent to which the objectives of the research are important and relevant to Head Start and the field of early childhood.
- The extent to which the research study makes a significant contribution to the broader field.
- The extent to which the related literature review supports the study objectives, the questions to be addressed or the hypotheses to be tested.
- The extent to which the questions that will be addressed or the hypotheses that will be tested are sufficient for meeting the stated objectives.

2. Approach—40 points

- The extent to which the planned approach reflects sufficient input from and partnership with the Head Start or Early Head Start program.
- The extent to which the research design is appropriate and sufficient for addressing the questions of the study.
- The extent to which the planned approach allows for the identification of specific outcomes.

- The extent to which the planned research includes quantitative and qualitative methods.

- The extent to which the planned measures and analyses both reflect knowledge and use of state-of-the-art measures and analytic techniques and advance the state-of-the-art.

- The extent to which the statistical approaches are appropriate for the question under consideration.

- The adequacy of the anticipated research sample size for the requirements of the study.

- For longitudinal studies the extent to which the site in which the research will be conducted has a method of tracking Head Start or Early Head Start graduates.

- The applicant has provided all required assurances.

- The reasonableness of the budget for the work proposed.

3. Staffing—35 points

- The extent to which the principal investigator and other key research staff possess the research expertise necessary to conduct the study as demonstrated in the application and information contained in their vitae.

- The principal investigator(s) has earned a doctoral degree in an appropriate field. (Not applicable for Head Start Research Scholars.)

- The extent to which the proposed staff reflect an understanding of and sensitivity to the issues of working in a community setting and in partnership with program staff and parents.

- The adequacy of the time devoted to this project by the principal investigator and other key staff in order to ensure a high level of professional input and attention.

- For graduate students, the adequacy of the supervision provided by the graduate student's mentor.

Historically Black Colleges and Universities

1. Objectives and Significance—25 points

- The extent to which the application demonstrates a clear need for the training and documents a sufficient number of potential trainees.

- The extent to which the proposed projects will produce substantial benefits to Head Start and the HBCU that go beyond those provided by Head Start's existing training system.

2. Approach—40 points

- The extent to which the applicant demonstrates a partnership between the HBCU, Head Start and relevant child care agencies.

- The extent to which the proposed course work is relevant to the

established needs and whether it contributes to the continuing education of the trainees in terms of college credits or degrees.

- The extent to which courses are planned at times convenient to the students, are held in accessible locations and support is provided to the students such as text books, child care and transportation.

- The appropriateness of the methods for recruiting students and the assignment of faculty.

- The quality of the applicants plan for evaluation of the project.

- The adequacy of the applicant's plan for continuous involvement with the Head Start or Early Head Start program.

- The appropriateness of the budget for the project proposed.

3. Staffing—35 points

- The extent to which the project director and other key staff possess the expertise necessary to conduct the project as demonstrated in the application and information contained in their vitae.

- The extent to which the proposed staff reflect an understanding of and sensitivity to the issues of working in a community setting and in partnership with program staff and parents.

- The adequacy of the time devoted to this project by the project director and other key staff in order to ensure a high level of professional input and attention.

B. The Review Process

Applications received by the due date will be reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, will use the evaluation criteria listed in Part III of this announcement to review and score the applications. The results of this review are a primary factor in making funding decisions. ACYF may also solicit comments from ACF Regional Office staff and other Federal agencies. These comments, along with those of the expert reviewers, will be considered in making funding decisions. In selecting successful applicants, consideration may be given to other factors which at the time of funding, may cause ACYF to consider certain research topics of higher priority or give less priority to current or past principal investigators who were recipients of Head Start discretionary research funds, or for Priority Area 1.03, universities which are current grant recipients in behalf of graduate students.

Part IV. Instructions for Submitting Applications

A. Availability of Forms

Eligible applicants interested in applying for funds must submit a complete application including the required forms included 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 the Office of Management and Budget under Control Number 0348-0043). A copy has been provided. 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 the Office of Management and Budget under control number 0348-0340). Applicants must sign and return the Standard Form 424B with their application. Applicants must provide a certification concerning lobbying. Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification (approved by the Office of Management and Budget 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.

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

Applicants must also understand that they will be held accountable for the smoking prohibition included within P.L. 103-227, Part C Environmental Tobacco Smoke (also known as The Pro-Children's Act of 1994). A copy of the **Federal Register** notice which implements the smoking prohibition is included with the forms. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

All applicants for research projects must provide a Protection of Human

Subjects Assurance as specified in the policy described on the HHS Form 596 (approved by the Office of Management and Budget under control number 0925-0137) in Appendix A. If there is a question regarding the applicability of this assurance, contact the Office for Protection from Research Risks of the National Institutes of Health at (301) 496-7041. Those applying for or currently conducting research projects are further advised of the availability of a Certificate of Confidentiality through the National Institute of Mental Health of the Department of Health and Human Services. To obtain more information and to apply for a Certificate of Confidentiality, contact the Division of Extramural Activities of the National Institute of Mental Health at (301) 443-4673.

B. Proposal Limits

The proposal should be double-spaced and single-sided on 8½" × 11" plain white paper, with 1" margins on all sides. Use only a standard size font no smaller than 12 pitch throughout the proposal. All pages of the proposal (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered, beginning on the first page after the budget justification, the principal investigator contact information and the Table of Contents. The length of the proposal starting with page 1 as described above and including appendices and resumes must not exceed 60 pages. Anything over 60 pages will be removed and not considered by the reviewers. The project summary should not be counted in the 60 pages. Applicants should not submit reproductions of larger sized paper that is reduced to meet the size requirement. Applicants are requested not to send pamphlets, brochures, or other printed material along with their applications as these pose copying difficulties. These materials, if submitted, will not be included in the review process. In addition, applicants must not submit any additional letters of endorsement beyond any that may be required.

Applicants are encouraged to submit curriculum vitae using "Biographical Sketch" forms used by some government agencies.

Please note that applicants that do not comply with the requirements in the section on "Eligible Applicants" will not be included in the review process.

C. Checklist for a Complete Application

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

- One original, signed and dated application plus two copies.
- Attachments/Appendices, when included, should be used only to provide supporting documentation such as resumes, and letters of agreement/support.
- A complete application consists of the following items in this order:

Front Matter:

- Cover Letter
- Table of Contents

- Contact information for Principal

Investigator including telephone number, fax number and e-mail address. (In the case of graduate students, include this information for both the graduate student and the supervisor.)

- Project Abstract

(1) Application for Federal Assistance (SF 424);

(2) Budget information-Non-Construction Programs (SF424A & B);

(3) Budget Justification, including subcontract agency budgets;

(4) Letter from the Head Start or Early Head Start program certifying that the program is a research partner of the respective applicant and that the Policy Council had reviewed and approved the application;

(5) Application Narrative and Appendices (not to exceed 60 pages);

(6) Proof of non-profit status. 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 organization 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 incorporation of the State in which the corporation or association is domiciled.

(7) Assurances Non-Construction Programs;

(8) Certification Regarding Lobbying;

(9) Where appropriate, a completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424;

(10) Certification of Protection of Human Subjects.

D. Due Date for the Receipt of Applications

1. **Deadline:** Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at: Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, Va. 22201.

Application for Head Start Discretionary Research: (Head Start—

University Partnerships [Priority Area 1.01 or 1.02], Head Start Research Scholars or Historically Black Colleges and Universities)

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 handcarried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 5:00 p.m., Monday–Friday (excluding holidays) at the address above. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.) ACF cannot accommodate transmission of applications by fax or e-mail. Therefore, applications faxed or e-mailed to ACF will not be accepted regardless of date or time of submission and time of receipt.

2. *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.

3. *Extension of deadlines:* ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., widespread disruption of the mails or when it is anticipated that many of the applications will come from rural or remote areas. However, if ACF does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

E. Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, Public Law 104–13, the Department is required to submit to OMB for review and approval any reporting and record keeping requirements in regulations including program announcements. This program announcement does not contain information collection requirements beyond those currently approved under OMB Control Numbers 0348–0043, 0348–0044, 0348–00400, 0348–0046, 0925–0137 and 0970–0139.

F. 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 their 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-three 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 submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

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

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

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

When comments are submitted directly to ACF, they should be addressed to: Lynda Perez, Head Start Bureau, P.O. Box 1182, Washington, D.C. 20013, Attn: Head-Start University Partnerships, Head Start Research Scholars or Historically Black Colleges and Universities. A list of the Single Points of Contact for each State and Territory is included in Appendix B.

Dated: May 8, 1997.

Helen H. Taylor,

*Associate Commissioner, Head Start Bureau,
Administration on Children, Youth and
Families.*

BILLING CODE 4184–01–P

Appendix A
APPLICATION FOR
FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> 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: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:																						
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:																						
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):		13. PROPOSED PROJECT Start Date Ending Date a. Applicant b. Project																						
14. CONGRESSIONAL DISTRICTS OF:																								
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>a. Federal</td><td>\$</td><td>.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td>.00</td></tr> <tr><td>c. State</td><td>\$</td><td>.00</td></tr> <tr><td>d. Local</td><td>\$</td><td>.00</td></tr> <tr><td>e. Other</td><td>\$</td><td>.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td>.00</td></tr> <tr><td>g. TOTAL</td><td>\$</td><td>.00</td></tr> </table>		a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$.00																						
b. Applicant	\$.00																						
c. State	\$.00																						
d. Local	\$.00																						
e. Other	\$.00																						
f. Program Income	\$.00																						
g. TOTAL	\$.00																						
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.		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?																						
		<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																						
a. Typed Name of Authorized Representative		b. Title																						
c. Telephone Number		d. Signature of Authorized Representative																						
e. Date Signed		(Empty space for signature)																						

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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 (0348-0043), Washington, DC 20503.

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

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

Item and Entry

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

OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

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

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

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Standard Form 424A (Rev. 4-92)
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. Section A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

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

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

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

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

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

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If

in-kind contributions are included provide a brief explanation on a separate sheet.

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

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

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

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

Column (e)—Enter totals 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 expenses.

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 United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 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 applicant.

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 applicants 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. Costs 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 commitments 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 costs 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. Cost 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 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 current 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 proposed 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)

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

Certification Regarding Drug-Free Workplace Requirements

(Instructions for Certification)

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

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

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

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

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

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

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the

change(s), if it previously identified the workplaces in question (see paragraph five).

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

Federal Procurement and Nonprocurement Programs.

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

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

* * * * *

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

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

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

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 for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or

voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

* * * * *

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

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible,

or voluntarily excluded by an 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.

BILLING CODE 4184-01-P

Protection of Human Subjects
Assurance Identification/Certification/Declaration
 (Common Federal Rule)

POLICY: Research activities involving human subjects may not be conducted or supported by the Departments and Agencies adopting the Common Rule (56FR28003, June 18, 1991) unless the activities are exempt from or approved in accordance with the common rule. See Section 101(B) the common rule for exemptions. Institutions submitting applications or proposals for support must submit certification of appropriate Institutional Review Board (IRB) review and approval to the Department or Agency in accordance with the common rule.

Institutions with an assurance of compliance that covers the research to be conducted on file with the Department, Agency or the Department of Health and Human Services (HHS) should submit certification of IRB review and approval with each application or proposal unless otherwise advised by the Department or Agency. Institutions which do not have such an assurance must submit an assurance and certification of IRB review and approval within 30 days of a written request from the Department or Agency.

1. Request Type <input type="checkbox"/> ORIGINAL <input type="checkbox"/> FOLLOWUP <input type="checkbox"/> EXEMPTION	2. Type of Mechanism <input type="checkbox"/> GRANT <input type="checkbox"/> CONTRACT <input type="checkbox"/> FELLOWSHIP <input type="checkbox"/> COOPERATIVE AGREEMENT <input type="checkbox"/> OTHER: _____	3. Name of Federal Department or Agency and, if known, Application or Proposal Identification No.
4. Title of Application or Activity		5. Name of Principal Investigator, Program Director, Fellow, or Other

6. Assurance Status of this Project (*Respond to one of the following*)

- ☐ This assurance, on file with the Department of Health and Human Services, covers this activity:
 Assurance identification no. M- IRB identification no. _____
- ☐ This Assurance, on file with (*agency/dept.*) _____, covers this activity:
 Assurance identification no. _____ IRB identification no. _____ (*if applicable*)
- ☐ No assurance has been filed for this project. This institution declares that it will provide an Assurance and Certification of IRB review and approval upon request.
- ☐ *Exemption status:* Human subjects are involved, but this activity qualifies for exemption under Section 101 (b), paragraph _____.

7. Certification of IRB Review (*Respond to one of the following IF you have an Assurance on file*)

- ☐ This activity has been reviewed and approved by the IRB in accordance with the common rule and any other governing regulations and subparts on (*date*) _____ by: ☐ Full IRB Review or ☐ Expedited Review.
- ☐ This activity contains multiple projects, some of which have not been reviewed. The IRB has granted approval on condition that all projects covered by the common rule will be reviewed and approved before they are initiated and that appropriate further certification will be submitted.

8. Comments

9. The official signing below certifies that the information provided above is correct and that, as required, future reviews will be performed and certification will be provided.		10. Name and Address of Institution
11. Phone No. (<i>with area code</i>)	12. Fax No. (<i>with area code</i>)	
13. Name of Official		14. Title
15. Signature		16. Date

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Public reporting burden for this collection of information is estimated to average 5 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: PHS Reports Clearance Officer (9999-0020 and 0925-0418), Humphrey Building, 200 Independence Ave. S.W., Washington, D.C. 20201. Attn: PRA. Do not return the completed form to this address.

OPTIONAL FORM 310 (Rev. 1-95)
 Sponsored by HHS/PHS/NIH

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-P

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 be not 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 \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

Appendix B—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) 280-1305

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) 739-3326, FAX (302) 739-5661

District of Columbia

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

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) 734-0494, FAX: (803) 734-0356

Texas

Tom Adams, Governor's 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 Capitol, 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 2950, 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 the Governor, Saipan, MP, Northern Mariana Islands 96950, Telephone (670) 664-2256, FAX: (670) 664-2272, Contact Person: Ms. Jacoba T. Seman, Federal Programs Coordinator, Telephone (670) 644-2289, FAX: (670) 644-2272

Virgin Islands

Nelson Bowry, Director, Office of Management and Budget, # 141 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.

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The jurisdictions not listed no longer participate in the process BUT GRANT APPLICANTS ARE STILL ELIGIBLE TO APPLY FOR THE GRANT EVEN IF YOUR STATE, TERRITORY, COMMONWEALTH, ETC DOES NOT HAVE A "STATE SINGLE POINT OF CONTACT." STATES WITHOUT "STATE SINGLE POINTS OF CONTACT" INCLUDE: Alabama, Alaska, American Samoa, Colorado, Connecticut, Kansas, Hawaii, Idaho, Louisiana, Massachusetts,

Palau, Minnesota, Montana, Nebraska, New Jersey, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Domestic Assistance.

Appendix C—List of Early Head Start Grantees

John Regitano, Fairbanks Native Association, 201 First Avenue, Suite 200, Fairbanks, AK 99701

Sharon Trish, Child Development Deputy Director, RurAL CAP; PO Box 925, Angayuat Mikelnguut-Ilu Eliitellerkait Program, Bethel, AK 99559

Vi Todd, Maricopa County Board of Supervisors, 3335 W. Durango, Phoenix, AZ 85009

Jan Martner, Director, Early Head Start, Southwest Human Development, Inc., 202 E. Earll Drive, Suite 140, Phoenix, AZ 85012

Susan St. Germaine, Butte County Office of Education, 1859 Bird Street, Oroville, CA 95965

Jean Miner, Children's Services International, PO Box 1634, Salinas, CA 93902

Sue Story, Child, Family and Community Services, Inc., 35699 Niles Boulevard, Fremont, CA 94536

Gail Healy, El Dorado County Superintendent of Schools, 6767 Green Valley Road, Placerville, CA 95667

Naomi Quiring-Mizumoto, Fresno County EOC, 1920 Mariposa Mall, Fresno, CA 93721

Dolores Garcia, Executive Director, Placer Community Action Council, Inc., 1166 High Street, Auburn, CA 95603

J'anne Kaussen, Head Start Director, 685 F. Street, Humboldt Del Norte Head Start, Arcata, CA 95521

Amy Liew, Executive Director, The Institute for Human and Social Development, 753 Del Monte Avenue, San Francisco, CA 94080

Catherine Goins, Education Specialist, SETA Head Start, 3750 Rosin Court, Suite 100, Sacramento, CA 95834

Christine Lyle, Assistant Director, Community Partnership for Child Development, 2132 E. Bijou Street, Colorado Springs, CO 80909

Pam Walker, Upper Arkansas Council of Governments, 1718 Brookside; PO Box 510, Canon City, CO 81215-0510

Cynthia Faust, Early Head Start Project Director, Edward C. Mazique Parent Child Center, Inc., 1719m 13th Street NW, Washington, DC 20009

Jan Yocum de Calderon, Rosemont Center, 2000 Rosemont Avenue, NW, Washington, DC 20010

William Hughey, United Planning Organization, 941 North Capitol Street, NE, 7th Floor, Washington, DC 20002

Alton Sears, Project Director, Metro-Dade County Community Action Agency, 1325 NW 71st Street, Miami, FL 33147

Mimi Graham, FSU Center for Prevention and Early Intervention Policy, 1139 East Lafayette, Tallahassee, FL 32301

Donna Glausser, Hillsborough Co. Bd. of Commissioners Head Start Dept., 601 E. Kennedy Boulevard, 13th Floor, Tampa, FL 33602

Barbara Mainster, Redlands Christian Migrant Association, 402 W. Main Street, Immokalee, FL 34142-3633

Merian Washington, Supervisor, Project Development, School Board of Alachua County, 620 East University Avenue, Gainesville, FL 32601

Willowdean Mors, Director, Berry Chattooga Early Development Center, 702 S. Congress Street, Summerville, GA 30747

Linda Hassan, Education Coordinator, Clark Atlanta University Head Start, 350 Autumn Lane SW, Atlanta, GA 30310

Donna Bibulia, Deputy Director, Save the Children Child Support Center, 1447 Peachtree Street NE, Suite 700, Atlanta, GA 30309

Momi Kamau, Hawaii Depart of Health, Maternal and Child Health Branch, 741-A Sunset Avenue, Honolulu, HI 96816

Kuukei Richard, Parents and Children Together, 1475 Linapuni Street, Room 117-A, Honolulu, HI 96819

Ann Bardwell, Drake University, 3929 Bel Aire Road, Des Moines, IA 50310

Mary Jo Madvag, EHS Director, Upper Des Monies Opportunity, Inc., 101 Robbins Avenue, Box 519, Graettinger, IA 51342

Connie Guillory, Nez Perce, PO Box 365, Lapwai, ID 83540-0365

Gary Mayberry, Better Boys Foundation, 1512 S. Pulaski Road, Chicago, IL 60623

Pat Wildner, CEDA of Cook County, 224 N. DesPlaines Street, Chicago, IL 60661-1195

Gwen Kenner Johnson, Manager, Child Care Program, City of Chicago Dept. of Human Services, 510 Peshtigo Court, Chicago, IL 60611

Anita Rash, Family Service and Visiting Nurse Association, 550 Landmark Boulevard, Alton, IL 62002

McFarland Bragg, Peoria Citizens Committee for Economic Opportunity, 711 W. McBean Street, Peoria, IL 61605

Howard Veal, Springfield Urban League, Inc., 1225 East Lawrence, Springfield, IL 62703

Brenda Dobbins-Noel, The Ounce of Prevention Fund, 122 S. Michigan Avenue, Suite 2050, Chicago, IL 60603

Donna Emmons, Director, Wabash Area Development, Inc., 100 North Latham, Enfield, IL 62835

Kathleen Liffick, Child Adult Resource Service, Inc., 620 Tennessee Street, Greencastle, IN 46135

Anita Lascelles, Coordinator, Healthy Beginnings 620 8th Avenue, Terre Haute, IN 47804

Ken Swenson, Hopewell Center, Inc., PO Box 3150, Anderson, IN 46018

Glenda Wilcox, Early Head Start Director, Child Care Association, 1069 Parklane, Wichita, KS 67218

Korey Powell Hensley, EHS Director, Heartland Healthy Families, 700 Jupiter, Salina, KS 67401

- Aubrey Nehring, Audobon Area Community Services, Inc., 1800 West Fourth Street, PO Box 20004, Owensboro, KY 42304
- Cleo Lowry, Executive Director, Breckinridge-Grayson Programs, Inc., 201 E. Walnut Street, PO Box 63, Leitchfield, KY 42754
- Paul Dole, Kentucky Communities Economic Opportunity Council, PO Box 490, Barbourville, KY 40906
- Judy Whitten, Head Start Director, Murray Head Start 208 South 13th Street, Murray, KY 42071
- Vivian Maddox, Whitley County Communities for Children, PO Box 733, Williamsburg, KY 40769
- James Houlares, Community Teamwork, Inc., 125 Phoenix Avenue, Lowell, MA 01852
- Linda Gaither, Deputy Director, Friends of the Family, Inc., 1001 Eastern Ave, 2nd Floor, Baltimore, MD 21202
- Carol Sutton, EHS Director, The Family Services Agency, Inc., 640 East Diamond Avenue, Suite A, Gaithersburg, MD 20877
- Sandy Scoville, University of Maryland University College, University Boulevard at Adelphi Road, College Park, MD 20742-1600
- Deborah Richardson, Director, Community Concepts, Inc., 35 Market Street, PO Box 278, So Paris, ME 04281
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