

formal and informal caregiving services between the disabled elderly with long-term care insurance policies and the disabled elderly in the general population. *Respondents:* Individuals or households—Burden Information for the Home Care Instrument—*Number of respondents:* 740; *Average time per response:* 40 minutes; *Burden for Home Care Instrument:* 494 hours—Burden Information for the Nursing Home Instrument—*Number of respondents:* 350; *Average time per response:* 40 minutes; *Burden for Nursing Home Instrument:* 233 hours—Burden Information for the Informal Caregiver Telephone Survey—*Number of respondents:* 700; *Average time per response:* 20 minutes; *Burden for Informal Caregiver Telephone Survey:* 233 hours—Burden Information for the Policy Holder Screening Instrument—*Number of respondents:* 1500; *Average time per response:* 5 minutes; *Burden for Policy Holder Screening Instrument:* 125 hours—*Total Burden:* 1085 hours.

OMB Desk Officer: Allison Eydt.

Copies of the information collection packages listed above can be obtained

by calling the OS Reports Clearance Officer on (202) 690-6207. Written comments and recommendations for the proposed information collection should be sent directly to the OMB desk officer designated above at the following address: Human Resources and Housing Branch, Office of Management and Budget, New Executive Office Building, Room 10235, 725 17th Street N.W., Washington, D.C. 20503.

Comments may also be sent to Cynthia Agens Bauer, OS Reports Clearance Officer, Room 503H, Humphrey Building, 200 Independence Avenue S.W., Washington DC, 20201. Written comments should be received within 30 days of this notice.

Dated: June 24, 1997.

Dennis P. Williams,

Deputy Assistant Secretary, Budget.

[FR Doc. 97-17013 Filed 6-27-97; 8:45 am]

BILLING CODE 4150-04-M

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

Agency Recordkeeping/Reporting Requirements Under Emergency Review by the Office of Management and Budget (OMB)

Title: Statewide Automated Child Welfare Information System (SACWIS) Assessment Review Guide.

OMB No.: New.

Description: States submit to ACF, the completed SACWIS assessment review questionnaire. OBRA 93 requires that ACF continually review, assess, and inspect the planning, design, and operation of SACWIS systems to determine how such systems meet and continue to meet the requirements imposed by OBRA in the assessment guide will allow State and Federal officials to determine if State SACWIS systems meet applicable statutory and regulatory requirements.

Respondents: States, Puerto Rico, Guam and the District of Columbia.

ANNUAL BURDEN ESTIMATES

Instrument	Number of respondents	Number of responses per respondent	Average burden hours per response	Total burden hours
Guide	15	1	24	360

Estimated Total Annual Burden Hours: 360.

Additional Information: ACF is requesting that OMB grant a 180 day approval for this information collection under procedures for emergency processing by July 15, 1997. A copy of this information collection, with applicable supporting documentation, may be obtained by calling the Administration for Children and Families, Acting Reports Clearance Officer, Bob Sargis (202) 690-7275.

Comments and questions about the information collection described above should be directed to the Office of Information and Regulatory Affairs, Attn: OMB Desk Officer for ACF, Office of Management and Budget, Paperwork Reduction Project, 725 17th Street N.W., Washington, D.C. 20503, (202) 395-7316.

Dated: June 24, 1997.

Bob Sargis,

Acting Reports Clearance Officer.

[FR Doc. 97-17014 Filed 6-27-97; 8:45 am]

BILLING CODE 4184-01-M

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration For Children and Families

[Program Announcement No. NCCAN/CB 97-10]

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

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

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

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

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

This announcement contains forms and instructions for submitting an application.

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

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

INTENT TO APPLY: If you are going to submit an application, call 1-800-351-

2293 within two weeks of the receipt of this announcement and give the following information: the name, address, and telephone number of the contact person; the name of the organization; and the priority area(s) in which you may submit an application. If you prefer, you may send a postcard with the information to: attention—Nainan Thomas, National Center on Child Abuse and Neglect, Administration on Children, Youth and Families, P.O. Box 1182, Washington, D.C. 20013. This information will be used to determine the number of expert reviewers needed and to update the mailing list for future program announcements.

SUPPLEMENTARY INFORMATION: This program announcement consists of three parts. Part I provides general information on the National Center on Child Abuse and Neglect. Part II describes the review process and priority areas. Part III provides information and instructions for the development and submission of applications.

Application forms are included in Appendix A—ACF Uniform Discretionary Grant Application Form (ACF/UDGAF). Please copy as single-sided forms and use in submitting an application under this announcement. No additional application forms are needed.

Grants to be awarded under this program announcement are subject to the availability of funds.

Outline of Announcement

Part I: General Information

- A. Background
- B. Statutory Authority Covered Under This Announcement

Part II: The Review Process and Priority Areas

- A. Eligible Applicants
- B. Review Process and Funding Decisions
- C. Evaluation Criteria
- D. Structure of Priority Area Descriptions
- E. Available Funds
- F. Summary of Public Comments
- G. Priority Area Descriptions and Requirements

Part III: Instructions for the Development and Submission of Applications

- A. Paperwork Reduction Act of 1995
- B. Availability of Forms
- C. Required Notification of the State Single Point of Contact
- D. Deadline for Submission of Applications
- E. Instructions for Preparing the Application Under Appendix A—ACF Uniform Discretionary Grant Application Form (ACF/UDGAF).
 1. SF424, page 1, Application Cover Sheet
 2. SF424A, Budget Information-Non-Construction Programs
 3. Project Summary Description
 4. Program Narrative Statement
 5. Organizational Capability Statement

- 6. Assurances/Certifications
- F. Checklist for a Complete Application
- G. The Application Package

Part I. General Information:

A. Background

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

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

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

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

B. Statutory Authority Covered Under This Announcement

NCCAN solicits applications under the authority of the Child Abuse Prevention and Treatment Act (CAPTA), as amended in 1996 (42 U.S.C. 5101 *et seq.*). Through the amendments of 1996, CAPTA is now reauthorized through September 30, 2001 (P.L. 104-235).

Funds were appropriated under the 1997 Appropriations Act (P. L. 104-208) through September 1997 (CFDA: 93.670).

Part II. The Review Process and Priority Areas

A. Eligible Applicants

Each priority area description contains information about applicant eligibility. Because eligibility varies depending on statutory provisions, it is critical that the "Eligible Applicants" section of each priority area be read carefully.

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

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

Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. Acceptable proof consists of either: 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 a copy of the currently valid IRS tax exemption certificate, or a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

B. Review Process and Funding Decisions

Before review, each application is screened to determine whether the applicant organization is eligible. Applications from ineligible organizations will not be reviewed in the competition, and the applicants will be so informed. Applicants omitting essential components of the application

or failing to comply with the format specifications described in Part III will have their applications withdrawn from further consideration.

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

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

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

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

C. Evaluation Criteria

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

The reviewers will determine the strengths and weaknesses of each application using the evaluation criteria listed below, provide verbal and written comments, and assign numerical scores to each application. The point value

following each criterion heading is the maximum score for that criterion.

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

(a) Objectives (5 points)

The application pinpoints the research problem addressed; concisely states the specific objectives of the study; and states the question(s) to be answered or hypothesis(es) to be tested.

(b) Background and Significance (19 points)

The application references theory or craft knowledge supporting the study, provides a thoughtful discussion about the current state of knowledge related to the research problem addressed by presenting a review of the relevant literature, including any pilot tests, in order to establish the need for the study as a replication to validate existing knowledge or a new study to fill a knowledge gap. Applicants also must indicate how the proposed study findings are expected to significantly inform policy, improve practice, and/or advance the science of child abuse and neglect research. Bibliographic references for all citations should be included.

(c) Methodology (51 points)

The application precisely defines the terms and variables used in the study; identifies data sources, data collection processes and instruments, including the instruments' reliability and validity with the population proposed; and describes the data analysis plan. If the study proposes secondary analysis of existing data, the application describes access to the chosen data set, familiarity with the original study design, measures, reports, data file structures, variables, codes, and the strengths and limitations of the data.

The application describes the characteristics of the target population and the rationale, strengths, and potential limitations for interpretations of findings due to the gender and ethnic composition of the proposed study sample; depicts recruitment and retention procedures; provides realistic estimates of attrition, and discusses appropriate procedures for handling attrition or interpreting the findings of the study in light of attrition. (This requirement is not applicable to priority area 2.04.)

The proposed methodology protects human subjects; reflects sensitivity to ethical issues that may arise; provides for reporting suspected abuse and/or neglect in accordance with applicable laws and regulations; and describes

procedures for soliciting approval from an institutional review board (IRB), if applicable, and protecting the integrity and confidentiality of data.

The applicant(s) commits to using data processing and documentation practices in accordance with the needs of the National Data Archive on Child Abuse and Neglect and to providing study data to the Archive within two years of the termination of Federal funding for the project, as applicable. A manual describing such practices, *The Preparation of Data Sets for Analysis and Dissemination: Technical Standards for Machine-Readable Data*, can be obtained free of cost from the National Data Archive on Child Abuse and Neglect located at Cornell University, Family Life Development Center, G20 MVR Hall, Ithaca, New York 14853-4401, 607-255-7794. Applicants must confirm that the final report will be prepared in the suggested format to ensure its readiness for dissemination by NCCAN and ACYF, if desired. (This requirement is not applicable to priority area 2.04).

The application provides a workable plan of action; details a reasonable timeline and target dates; includes an adequate staffing plan, listing key and support staff, consultants, agency, organization, other key group, and/or advisory panels involved or proposed; and, if applicable, describes the responsibilities, activities, and/or training plans for each. The application explicitly identifies the role of its author(s) in relation to the work plan and administrative structure.

The application proposes reasonable and appropriate project costs and allocates sufficient funds across component areas. This information also must be included in the budget narrative.

(d) Staff Background and Organizational Experience (25 points)

The application describes the qualifications of the key staff and consultants alluded to in the methods section (a curriculum vitae for each key staff person must be included with the application); the geographic accessibility of the personnel proposed; and access to special personnel resources to be tapped, if required.

The application describes the adequacy of the available facilities and organizational experience to perform the pertinent tasks of the proposed project effectively and efficiently. Organizational capability statements included with applications should be no longer than two pages. If collaboration is proposed, its nature and extent must

be described in detail and supported by letters of commitment.

The application describes the relationship between this project and any other Federally financed work planned, anticipated, or underway by the applicant.

D. Structure of Priority Area Descriptions

Each priority area description is composed of the following sections:

Eligible Applicants: This section specifies the type of organizations eligible to apply under the particular priority area, noting specific restrictions where applicable.

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

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

Minimum Requirements for Project Design: This section presents the minimum requirements which must be addressed in response to the evaluation criteria. These requirements relate to the objectives, background and significance, methodology, staff background and organizational experience. Reviewers will expect the details under these headings to correspond to the evaluation criteria.

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

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

Matching Requirement: This section specifies the minimum non-Federal contribution, either cash or in-kind match, required for the project. There is no matching requirement for research projects.

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

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

E. Available Funds

The ACYF intends to award new grants resulting from this announcement during the fourth quarter of Fiscal Year 1997, subject to the availability of funds. Approximately two million dollars (\$2,000,000) are expected to be available for this program announcement. The size of the awards will vary from priority area to priority area.

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

"Budget period" is the interval of time (usually 12 months) into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes. "Project period" is the total time a project is approved for support, including any extensions. Where appropriate, applicants may propose project periods shorter than the specified maximums.

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

F. Summary of Public Comments

On February 12, 1997, the National Center on Child Abuse and Neglect (NCCAN) published its proposed research priority areas for 1997–2001 in the **Federal Register** (Volume 62, Number 29, pages 6546–6549.) The notice requested comments from the public on the research priority areas by no later than April 14, 1997.

NCCAN received 99 written responses from a variety of sources, including the following: The American Bar Association (ABA) Center on Child and the Law; State and county departments of social welfare and human services; city and county health departments; child protective service agencies; a newsletter for abuse survivors and their supporters; family violence projects; State protection and advocacy systems; community agencies for children and families; national, State and local associations and non-profit organizations; universities; hospitals; health care corporations; children's medical centers; mental health services agencies; agencies serving children with disabilities; and national resource centers.

The largest number of written responses (30) came from university representatives. The next largest number of responses (16) were from hospitals, health care corporations, children's medical centers and non-profit

organizations. Counties, States, individuals and for-profit organizations accounted for the remainder (53) of comments.

Legislative Topics

Eight letters commented on the proposed research topic of mandated reporting. Some commenters suggested that research on the nature of adequate training for mandated reporters would be helpful, while one respondent noted that the need is not for training. Others suggested a study of the impact of mandated reporting on domestic violence or on provider behavior, while another wondered whether the elimination of mandatory reporting might increase the involvement of the criminal justice system in child protection.

Seven comments on research on unsubstantiated, unfounded and false reports reflected disagreement as to whether this area should be studied. Some cautioned that emphasis should be placed on the rights of the child rather than the alleged perpetrator. Questions were raised as to whether this is really a research priority or a matter of child welfare practice. Commenters feared that studies focused on false reports might send the wrong message to State governments and the research community implying that the key issue in child welfare is to "reduce waste" rather than protect children.

Four comments supported research on child abuse and neglect reporting in the context of family court proceedings. Commenters noted the need for research in effective coordination of child protection and family court staff who frequently work with the same families, especially on termination of parental rights cases. Another suggested that a research evaluation be done on the results of family court initiatives and the effects of court improvement projects on children's outcomes.

Seven comments pertained to research on child abuse and neglect involving substitute care. Most comments support research in this area. One State agency urged research into the matching of potential foster parents with special needs children and whether the training they are given is adequate. Another comment spoke to the need to examine the quality of investigations of allegations of abuse in substitute care, positing that sometimes the data on these cases are inadequate or skewed.

Four comments addressed research into systems and sequelae questions with substantiated case samples. One writer stated that research in this area would provide a more rational and

empirical foundation for shaping strategies and responses to child abuse and neglect. Another noted that longitudinal, epidemiological studies are relevant to these questions. Finally, it was noted that such research should occur in the context of the entire range of case flow and decision-making.

Other Topics

Twelve comments addressed the priority area regarding child safety and child fatality. In general, commenters favored research in this area. Possible emphases for the research include 1) home visitation services and other early intervention programs; 2) assessment measures for child safety and Sudden Infant Death Syndrome; 3) standards for evaluating deaths due to neglect for child fatality review teams; 4) identifying cases at high risk for fatality; 5) follow up to fatality reviews; 6) the over-representation of minorities in known child abuse and neglect fatalities; 7) integrating multiple data bases; and 8) the effects of severe and fatal child abuse on siblings and other family members.

Eight people commented on the co-occurrence of multiple family problems (substance abuse, domestic violence, criminal behavior) with child maltreatment in families. Commenters generally favored this priority. Several noted the clear links among domestic violence, substance abuse and child abuse, and called for research into developing a valid risk assessment instrument and best practices for treatment and services. A social work professor noted the paucity of research on co-occurrence, and the need for research that includes studies of families in the earliest stages of violent behavior in order to discern the potential for other types of violence. He also expressed interest in NCCAN funding research differentiating spouse abusing-only from child abusing-only families and taking urban and rural differences into account.

Three communications suggested "definitions" as a research topic. All supported this subject, and one commenter specified the need for multi-site studies.

Ten comments unanimously favored university-based doctoral or medical student and faculty research fellowships in child abuse and neglect. Only three commented on the desirability of either specified model: one preferred the student-only model; one preferred the faculty and student(s) group model; and the third commenter felt that either model would advance the field.

Four commenters addressed research on outcomes. Comments were generally

favorable. Two organizations thought research should be conducted on the relationship between services by professionally trained social workers and outcomes for children and families. The remaining commenters asked for some expanded focus to the section, noting that it would be helpful to learn what services a community implements to achieve a particular outcome, and whether the result is intended or unplanned, but nonetheless beneficial.

Eight comments focused on over-represented and special populations. Three respondents expressed support for research on racial and ethnic groups and children with disabilities. Research ideas included: (1) Evaluating the importance of matching clients and service providers on the basis of demographic characteristics; (2) investigating treatment components that might be used to address cultural differences; and (3) determining the true distribution of child maltreatment among different social classes. Five respondents commented specifically on immigrant children and their families. Two questioned the emphasis, while three others applauded it.

Six commenters addressed secondary analysis of Federally-funded data sets. All supported this area of research. They expressed the following concerns and ideas: (1) The suggested range of minimum funding vary among the respondents from \$5,000 in direct costs to \$20,000; (2) a limit needs to be set on how old the data sets can be, and (3) results from secondary analysis may be a way for NCCAN to prioritize among the broad range of research topics.

There was much interest in triage as indicated by the eight comments received. Several commenters noted the need to examine broad issues encompassed by the triage concept, including privatization, managed care, kinship responses, cultural responsiveness and welfare reform. Others cited the need for improved risk assessment instruments as part of any research involving differentiated responses.

Two writers commented on welfare reform and system change. Both felt it is an important area of inquiry, but one noted that it seems implausible for NCCAN/CB to study this matter independent of other Federal constituencies.

Eight comments addressed the call for field-initiated research. All supported NCCAN'S reinstatement of the priority area, observing that field-initiated research encourages researchers from outside the field to apply knowledge and methods from their respective areas; allows the field to have input as to the

most important issues for study; and permits researchers to carry on fields of study that build upon their past work.

Finally, several respondents recommended additional areas of research including medical evaluation of suspected sexual or physical abuse; prevalence of children witnessing violence in the home; the relationship between poverty and child maltreatment; monitoring sex offender treatment; effectiveness of primary prevention strategies; and the impact of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 on the prevalence of child maltreatment.

Over the next five years, NCCAN will address many of these proposed priorities, taking into consideration the public comments. For this year, funding will be available for Field-Initiated Research in Child Abuse and Neglect (Priority area 2.01); University-Based Doctoral or Medical Student and Faculty Fellowships in Child Abuse and Neglect (Priority Area 2.02); nd Dynamics of Unsubstantiated Reports of Child Abuse and Neglect (Priority Area 2.03). These three priority areas allow the applicants to propose projects within the scope of the legislatively mandated topics on which favorable comments were received as well as on research field initiated topics, including secondary analysis of existing data. In addition, the Multi-State Foster Care Data Archive (Priority area 2.04) from the Children's Bureau is included in this announcement because it closely relates to the research interests of those who may apply to NCCAN for research funding. It addresses the research needs in the broad array of child welfare services with an emphasis on foster care.

Applicants are strongly encouraged to build new projects on the results and findings of previously funded NCCAN grants. Information on prior research and demonstration projects supported by NCCAN and other references made in this announcement are available from the Clearinghouse on Child Abuse and Neglect Information, P.O. Box 1182, Washington, DC 20013, (Phone: 1-800-FYI-3366; web page: <http://www.calib.com/nccanch>). The Clearinghouse can provide information on the other Federal Clearinghouses and Resource Centers having special information and resources.

G. Priority Area Descriptions and Requirements

2.01 Field-Initiated Research on Child Abuse and Neglect

Eligible Applicants: Public (State, Tribal or local) or private non-profit

agencies, organizations, or institutions of higher learning, including Historically Black Colleges and Universities (HBCUs) and Hispanic Serving Colleges and Universities are eligible to apply. Collaborative efforts and interdisciplinary applications are encouraged. However, a primary applicant must be identified.

Purpose: To support research designed to carry out the legislative responsibilities established by the Child Abuse Prevention and Treatment Act (CAPTA) Amendments of 1996 (P.L. 104-235). These responsibilities include the conduct of research on the nature and scope of child abuse and neglect; the causes, prevention, assessment, identification, treatment, cultural and socio-economic distinctions, and consequences of child abuse and neglect; and appropriate, effective and culturally sensitive investigative, administrative, and judicial procedures with respect to cases of child abuse.

Background Information: The generation of new knowledge for understanding critical issues in child abuse and neglect improves prevention, assessment, identification, and treatment for children and families who have experienced child abuse and neglect. Research is one way to generate new knowledge. Field-initiated, or investigator-initiated, research may address any topic that will expand the current knowledge base, build on prior research, contribute to practice enhancements, inform policy, improve science, or provide insights into new approaches to the prevention, assessment, identification, and treatment of child maltreatment (i.e., physical abuse, sexual abuse, emotional maltreatment, and/or neglect).

This priority area responds to legislative direction. Those seeking general guidance about appropriate topics are referred to the **Federal Register** (February 12, 1997; Vol. 62, No. 29, pp. 6546-6549) announcement of proposed research priorities which lists legislative and other topics of interest; the section in this announcement summarizing public comments to the proposed research priorities; and the report, including research recommendations, published by the National Research Council, Commission on Behavioral and Social Sciences and Education, Panel on Research on Child Abuse and Neglect, Understanding Child Abuse and Neglect (Washington D.C.: National Academy Press, 1993).

Secondary analysis of existing databases, pilot tests of measurement tools, or validation studies may be proposed under this priority area. NCCAN encourages the use of existing

data sets collected through NCCAN and other ACF-funded projects such as the National Incidence of Child Abuse Study (NIS), the National Study of Protective, Preventive and Reunification Services Delivered to Children and their Families, Head Start Data and other field generated data on child maltreatment, and data stored in the National Data Archive on Child Abuse and Neglect at Cornell University, Family Life Development Center, G20 MVR Hall, Ithaca, New York, 14853-4401; telephone: 607-255-7794. Budgets and project lengths for these more focussed activities must be justifiable and appropriate to the scope of the work.

Applicants are encouraged to plan and design, apply for funding, implement, and evaluate the proposed research in collaboration with a State IV-B agency, community-based organization (CBO), public, private, profit, or not-for-profit agency providing child welfare or child protective services.

As with other offerings, the Administration on Children, Youth and Families maintains an interest in research which will be especially informative about over-represented populations and communities, and special populations (i.e., racial and ethnic groups, children with disabilities, and children in immigrant communities).

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

(a) Objectives

- Pinpoint the research problem being addressed.
- State the specific objectives of the study.
- State the question(s) to be answered or hypothesis(es) to be tested.

(b) Background and Significance

- Describe the conceptual framework that includes appropriate cultural perspectives and reference theory, if any, in support of the study.
- Discuss the current state of knowledge related to the research problem, providing a review of the relevant literature, including any pilot tests; describe how the proposed research has direct application to the field of child abuse and neglect within the context of NCCAN's legislative responsibilities.
- Establish the need for the study as either a replication to validate existing

knowledge or as a new study to fill a knowledge gap. If applicable, indicate how the proposed study is distinguished from other on-going research of which it is a part.

- Indicate how the proposed study findings significantly inform policy, improve practice, and/or advance the science of child abuse and neglect research.
 - Include all bibliographic references.
- (c) Methodology*
- Describe the proposed methodology. Define the terms, variables, and design to be used in the study.
 - Describe the population and sampling plan, the rationale, strengths, and potential limitations for interpretations of findings due to the gender and ethnic composition of the proposed study sample.
 - Describe recruitment and retention procedures; provide realistic estimates of attrition, and discuss appropriate procedures for handling attrition or interpreting the findings of the study in light of attrition.
 - Identify data collection procedures and instruments, including information on reliability and validity of the instruments with the population proposed.
 - Describe access to the data source and the chosen data set and demonstrate familiarity with the original study including its design, measures, reports, data file structures, variables, codes, and the strengths and limits of the data, if the study proposes secondary analysis of existing data.
 - Provide a data analysis plan appropriate to the study. Applicants proposing secondary analysis of existing data may run a preliminary descriptive analysis on existing variables of interest to replicate published findings, add new variables and revise data analysis plans as needed.
 - Provide assurance that draft reports of the findings of secondary analysis of existing data would be shared with the original investigators or other experts for comments.
 - Provide assurance that a carefully prepared and thoroughly documented data set comprising the research data collected for the study would be deposited in the National Data Archive on Child Abuse and Neglect within two years of the termination of funding for the project.
 - Provide Certification of Protection of Human Subjects Assurance as part of the application; describe procedures for soliciting approval from an institutional review board (IRB), if applicable; describe data management plan to

safeguard the integrity and confidentiality of data.

- Reflect sensitivity to ethical issues that may arise and make provision for reporting suspected abuse and/or neglect in accordance with applicable laws and regulations.
- Provide a workable plan of action; detail a reasonable time-line and target dates; include an adequate staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; identify the role of the author(s) of the proposal in relation to the work-plan; describe the responsibilities, activities, and/or training plans for each, if applicable.
- Propose reasonable and appropriate project costs and allocate sufficient funds across component areas. This information should be given in the budget narrative section.
- Describe strategies for disseminating the findings in a manner that would be useful to other researchers and practitioners in the field.

(d) Staff Background and Organizational Experience

- Describe the academic qualifications of the principal investigator and the key project staff and consultants, if any, identified in the methodology section; include a brief curriculum vitae for each key staff person.
- Describe the adequacy of the available facilities and the capability of the organization to administer and implement the project effectively and efficiently; if the proposed project is a collaborative effort involving more than one agency or organization, attach letters of commitment documenting the nature and extent of such collaboration.
- Describe the relationship between this project and any other Federally-assisted work planned, anticipated, or underway, by the applicant.
- Provide assurances that one key staff person will attend a three-day annual Spring meeting of NCCAN research grantees in Washington, D.C. with an interim progress report of the research; prepare quarterly progress reports, and a final project report in an NCCAN-suggested format ensuring ease of dissemination and utilization.

Project Duration: The length of the project may not exceed 36 months. Projects involving secondary analysis of existing data may propose a shorter duration.

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period. Applications for lesser

amounts are expected when appropriate to work of a smaller scale, especially proposals involving secondary analysis of existing data.

Matching Requirements: There is no matching requirement.

Anticipated Number of Projects to be Funded: Pending the availability of funding in FY 1997 or FY 1998, it is anticipated that up to four projects will be funded at the maximum funding level or more than five if applications for lesser amounts are funded.

2.02 University-Based Doctoral or Medical Student and Faculty Fellowships in Child Abuse and Neglect

Eligible Applicants: Institutions of higher learning, including medical schools, teaching hospitals, Historically Black Colleges and Universities (HBCUs) and Hispanic Serving Colleges and Universities on behalf of qualified doctoral students, medical students, residents (medical, surgical, pediatric, or others), house officers, or fellows enrolled in the institution and faculty employed by the institution. To be eligible to administer such a grant, the institution must be fully accredited by one of the regional institutional accrediting commissions recognized by the U.S. Secretary of Education and the Council on Post-Secondary Accreditation, the Accreditation Council for Graduate Medical Education, American Association of Medical Colleges, or the Liaison Committee for Medical Education, as applicable. While an individual is considered to be the beneficiary of the grant support, awards will be made only to eligible institutions on behalf of their qualified candidates.

Purpose: To provide support for doctoral students, medical students, residents, house officers, or fellows, who show promise and demonstrate a serious interest in and commitment to issues of child maltreatment, as well as for faculty who will conduct research on critical issues in child abuse prevention, assessment identification, and treatment. These fellowships serve to help cultivate the academic infrastructure, support the growth of university-based research capacity for child abuse and neglect, and encourage doctoral-level students and faculty to pursue careers in child abuse and neglect research.

Background Information: The research community has highlighted the need to draw new researchers into the field of child abuse and neglect (Understanding Child Abuse and Neglect, Washington, D.C.: National Academy Press, 1993). During FYs 1991, 1992, and 1994, NCCAN funded 26

graduate research fellowships for doctoral candidates to complete dissertations addressing critical issues in child abuse and neglect. This activity proved rewarding for NCCAN and garnered the support of the field.

In FY 1996, NCCAN initiated the university-based student and faculty fellowships by funding four institutions (the University of Chicago, the University of Maryland at Baltimore, Brandeis University and the University of Rhode Island). Students and faculty funded in FY 1996 are working on research issues that include topics such as:

- Child Protection Decision-Making in Cases Involving Substance-Exposed Infants,
- Decision-Making in Family Reunification,
- Child Maltreatment: Correlates and Outcomes
- Studies of the Impact of Criminal Justice and Child Welfare Systems' Involvement on Child Survivors of Abuse,
- The Process of Change Among Parents Who Abuse and Neglect Their Children, and
- Family Violence in Asian-American Families.

Faculty, doctoral students, and students in medical schools, resident, house officers, or fellows programs are encouraged to apply for support through their schools and interdisciplinary programs in social sciences, human development, community and family development, human services, social work, medicine, nursing, special education, early childhood education, psychology, sociology, anthropology, public health, child study, minority studies, and criminology.

NCCAN proposes to award funds for fellowships in blocks to eligible institutions. Each institutional block would contain at least two or up to four students and one faculty member. The students and faculty member may pursue their own individual research or work on coordinated projects on child abuse and neglect. In addition to submitting all the required reports to NCCAN, faculty are encouraged to publish the findings of the study funded. Students' work could lead to dissertations, publications, or fulfill the requirements of major research projects (e.g., independent study projects requiring a minimum commitment of 6 to 9 graduate credit hours).

Institutions will be selected competitively, with attention to geographic distribution. Historically Black Colleges and Universities (HBCUs) as well as Hispanic Serving

Colleges and Universities are encouraged to apply in order to generate knowledge particularly responsive to issues of cultural context and the over-representation of some groups in child welfare and child protective services systems.

Examples of topics to be studied for these fellowships include, but are not limited to, the following:

1. The number of substantiated cases that result in a judicial finding of child abuse or neglect or related criminal court convictions;

2. The extent to which the lack of adequate resources and lack of adequate training of individuals required by law to report suspected cases of child abuse have contributed to the inability of a State to respond effectively to serious cases of child abuse and neglect;

3. The incidence and prevalence of physical abuse, sexual abuse and emotional neglect in substitute care;

4. The incidence and outcomes of abuse allegations reported within the context of divorce, custody, or other family court proceedings, and the interaction between this venue and the child protective services system;

5. Child abuse and neglect service intervention outcome studies;

6. Child abuse and neglect treatment outcome studies;

7. Studies focussing on over-represented and special populations in child welfare and child protective services (i.e., racial and ethnic groups, children with disabilities, and immigrant children) and the systems' understanding or lack thereof of the dynamics of these populations, and methods for assessment of clients in order to generate knowledge about these populations from appropriate cultural and sociological perspectives.

8. Co-occurrence of child maltreatment and substance abuse and/or domestic violence and system responses to co-occurrence in terms of assessment, intervention, treatment and resources;

9. Secondary analyses of existing databases, pilot tests of measurement tools, or validation studies;

10. Research on new medical screening, diagnostic, or interview protocols, and treatment techniques.

For topics one through eight, applicants are encouraged to collect data in partnership with one or more agencies and/or organization of the local jurisdictions (e.g., child protective services/child welfare agencies, juvenile, criminal and family courts, substitute care settings, community-based substance abuse treatment centers, service providing organizations, family violence intervention programs,

etc.). For topic nine, NCCAN encourages secondary analysis of existing data sets collected through NCCAN and other ACF-funded projects such as the National Incidence Study (NIS), the National Study of Protective, Preventive and Reunification Services Delivered to Children and their Families, Head Start Data and other field generated data on child maltreatment, and data stored in the National Data Archives on Child Abuse and Neglect at Cornell University, Family Life Development Center, G20 MVR Hall, Ithaca, New York, 14853-4401; telephone: 607-255-7794. Topic ten may be appropriate for study in teaching hospital settings with multi-disciplinary, child protection teams.

Each applicant institution should prepare a single submission packet composed of (up to) five individual research proposals. Each individual proposal will be evaluated against the criteria for evaluating research projects. However, each institution will receive only one score which will consist of the average of the individual proposal scores. For this priority area only, an exception is made regarding the total 60-page limit described elsewhere in this announcement. The text of each individual proposal for this area should not exceed a maximum of 15 pages. The total text for the five proposals cannot exceed a maximum of 75 pages. Application forms and all required attachments can add up to 25 more pages. Thus the total length of the institutional submission, including text, application, and attachments may be up to 100 pages. Human Subjects Assurances must be completed for each individual proposal; however, all other assurances should be submitted only once, by the institutional applicant. The academic institution, in accepting the award, agrees to waive overhead charges (indirect costs) and pass the entirety of the funds on to students and faculty as fellowships.

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

(a) Objectives

- Pinpoint the research problem being addressed.
- State the specific objectives of the study.
- State the question(s) to be answered or hypothesis(es) to be tested.

(b) Background and Significance

- Describe the conceptual framework that includes appropriate cultural perspectives and reference theory, if any, in support of the study.
- Discuss the current state of knowledge related to the research problem, providing a review of the relevant literature, including any pilot tests; describe how the proposed research has direct application to the field of child abuse and neglect.
- Establish the need for the study as either a replication to validate existing knowledge or as a new study to fill a knowledge gap. If applicable, indicate how the proposed study is distinguished from other on-going research of which it is a part.
- Indicate how the proposed study findings significantly inform policy, improve practice, and/or advance the science of child abuse and neglect research.
- Include all bibliographic references.

(c) Methodology

- Describe the proposed methodology. Define the terms, variables, and design to be used in the study.
- Describe the population and sampling plan, the rationale, strengths, and potential limitations for interpretations of findings due to the gender and ethnic composition of the proposed study sample.
- Describe recruitment and retention procedures; provide realistic estimates of attrition, and discuss appropriate procedures for handling attrition or interpreting the findings of the study in light of attrition.
- Identify data collection procedures and instruments, including information on reliability and validity of the instruments with the population proposed.
- Describe access to the data source and the chosen data set and demonstrate familiarity with the original study including its design, measures, reports, data file structures, variables, codes, and the strengths and limits of the data, if the study proposes secondary analysis of existing data.
- Provide a data analysis plan appropriate to the study. Applicants proposing secondary analysis of existing data may run a preliminary descriptive analysis on existing variables of interest to replicate published findings, add new variables and revise data analysis plans as needed.
- Provide assurance that draft reports of the findings of secondary analysis of existing data would be shared with the original investigators or other experts for comments.

- Provide assurance that a carefully prepared and thoroughly documented data set comprising the research data collected for the study would be deposited in the National Data Archive on Child Abuse and Neglect within two years of the termination of funding for the project.

- Provide Certification of Protection of Human Subjects Assurance as part of the application; describe procedures for soliciting approval from an institutional review board (IRB), if applicable; describe data management plan to safeguard the integrity and confidentiality of data.

- Reflect sensitivity to ethical issues that may arise and make provision for reporting suspected abuse and/or neglect as governed by applicable laws and regulations.

- Provide a workable plan of action; detail a reasonable time-line and target dates; include an adequate staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; identify the role of the author(s) of the proposal in relation to the work-plan; describe the responsibilities, activities, and/or training plans for each, if applicable.

- Propose reasonable and appropriate project costs and allocate sufficient funds across component areas. This information should be given in the budget narrative section.

- Describe strategies for disseminating the findings in a manner that would be useful to other researchers and practitioners in the field.

Staff Background and Organizational Experience

- Include evidence that the student candidates are enrolled and in good standing as doctoral or medical students, residents, house officers, or fellows in the sponsoring institution and verify the employment status of the faculty candidate.

- Document the agreement between the dean or chairperson and the faculty candidate indicating that the faculty candidate will be permitted to conduct the research project as part of his/her academic duties, and if needed, that a senior faculty member would be available to guide the project.

- Include a letter of support from a tenured faculty member, advisor, Dean, or Chairperson for each student seeking a fellowship, recommending the student's capability to undertake a research project of this nature.

- Describe the corporate capability of the institution to support a research initiative, in terms of the existing

research infrastructure and academic climate; if the proposed project is a collaborative effort involving more than one agency or organization, attach letters of commitment documenting the nature and extent of such collaboration.

- Include a short resume for each candidate (limit to one page) including information on education and relevant experiences.

- Describe the relationship between this project and any other Federally-assisted work planned, anticipated, or underway, by the applicant institution.

- Provide assurances that each candidate will attend a three-day annual Spring meeting of NCCAN research grantees in Washington, D.C. with an interim progress report of the research; prepare quarterly progress reports and a final project report in an NCCAN-suggested format ensuring ease of dissemination and utilization.

Project Duration: The length of the project may not exceed 17 months.

Federal Share of the Project Costs: The maximum Federal share of the project is not to exceed \$75,000 per university or institution to fund up to four student-candidates at \$13,750 each and \$20,000 for the faculty candidate.

Matching Requirement: There is no matching requirement.

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

2.03 Dynamics of Unsubstantiated Reports of Child Abuse and Neglect

Eligible Applicants: Public (State, Tribal or local) or private non-profit agencies, organizations, and institutions of higher learning, including Historically Black Colleges and Universities and Hispanic Serving Colleges and Universities are eligible to apply. Collaborative efforts are encouraged; however, a primary applicant must be identified. If the primary applicant is a private nonprofit agency, organization or institution of higher learning, a clear statement of commitment and agreement with the State, Tribal or local Child Protection/child welfare entities must be provided which assures access to appropriate sources and individuals.

Purpose: To support research on the dynamics of unsubstantiated cases of child abuse and neglect, including the factors that influence the decision not to substantiate, the agency resources expended in investigating unsubstantiated versus substantiated reports, service interventions provided to children and families during or as a result of the investigation, and outcomes of children and families who have been the subject of unsubstantiated reports,

including their re-referral to child protective services in future reports of alleged abuse and neglect.

Background Information: In 1995, State child protective services agencies (CPS) received and referred for investigation nearly 2 million reports of alleged maltreatment, involving an estimated 3 million children (Child Maltreatment 1995: Reports from the States to the National Child Abuse and Neglect Data System, Washington, D.C., U.S. Government Printing Office, 1997). Over 1 million children were found to be victims of substantiated or indicated maltreatment.

Due to expungement practices, administrative data on unsubstantiated cases is limited in many States. In fact, not all States are able to provide data on the number of investigated children for whom maltreatment was not substantiated, as well as those for whom maltreatment was substantiated.

However, based on data from the 40 States able to report on children with both substantiated and not substantiated dispositions, 34 percent of investigated children were found to have suffered substantiated or indicated abuse or neglect, while 60 percent received an investigation disposition of "unsubstantiated." Less than 2 percent of children had investigations resulting in either "no finding" or "unknown finding," and about 4 percent received a disposition categorized as "other" (NCANDS).

The large number of investigations resulting in unsubstantiated dispositions has raised questions and concern about the nature of these cases and their impact both on the children and families who are the subject of these CPS investigations and on the functioning of CPS systems. The CAPTA amendments of 1996 suggest several research topics specifically focusing on unsubstantiated cases of child abuse and neglect, including, "the extent to which the number of unsubstantiated, unfounded and false reported cases of child abuse or neglect have contributed to the inability of a State to respond effectively to serious cases of child abuse and neglect;" "the number of unsubstantiated, false, or unfounded reports that have resulted in a child being placed in substitute care, and the duration of such placement;" and "the extent to which unsubstantiated reports return as more serious cases of child abuse or neglect."

Concerns have also been raised about the potential harm to families that may accompany CPS investigations in cases where no maltreatment is present. Conversely, there is concern that significant numbers of children in

unsubstantiated cases may, in fact, have suffered harm or be at risk of harm due to abuse or neglect, and yet may not, because of the investigation disposition, receive the services necessary to ensure their safety and well-being.

Available data suggest that differences in State laws and policies, including definitions of child abuse and neglect and investigation disposition classification schemes, result in children experiencing similar events being classified differently. In 1995, the national rate of child maltreatment victims (where only children in substantiated or indicated reports were considered "victims") was 15 per 1,000 children younger than 18 in the population. However, when States were grouped and compared according to their system of classifying investigation dispositions, significant differences were seen. In States using a two-tier classification of dispositions (i.e., investigations were either substantiated or unsubstantiated) the average victim rate was 13 children per 1,000 in the population. In States using a three-tier classification of dispositions (i.e. where in addition to the findings of substantiated and unsubstantiated, a case may be classified as "indicated," meaning there was reason to suspect maltreatment or a risk of maltreatment, although it did not rise to the level of evidence required by State law to substantiate), the average victim rate was 23 children per 1,000 in the population.

In a recent article entitled, "Unraveling 'Unsubstantiated'" Brett Drake highlights the heterogeneity within the category of unsubstantiated reports, and cautions against equating unsubstantiated reports with invalid or false reports (Drake, 1996). Drake offers a conceptual model for considering child maltreatment cases along a two-dimensional continuum of harm and evidence. As Drake writes, "the conceptual basis for this model is the assumption that all CPS reports vary along two dimensions: the level of proof available that maltreatment exists and the degree of harm present. It is only through the simultaneous consideration of both of these dimensions that substantiation can be understood." Under Drake's model, substantiated cases are most likely to fall in the quadrant in which both the level of proof and the degree of harm are relatively high. Cases in which there is little evidence, even if there is a high degree of harm, may be unsubstantiated. Drake also notes that unsubstantiated cases may, nonetheless, result in services being provided to families to

address family needs and problems and prevent future maltreatment.

Other research has compared longer-term outcomes for children involved in substantiated and unsubstantiated CPS reports. For instance, in research previously funded by NCCAN, Zingraff and Leitner (1995), found little or no difference in school performance or risk of delinquency for children in substantiated versus unsubstantiated reports.

In order to gain a better understanding of unsubstantiated reports of child abuse and neglect, NCCAN is interested in supporting studies that address questions that include, but are not limited to:

- What factors influence the decision on whether or not to substantiate the case? How do State laws and policies relating to levels of evidence required to substantiate and the level of harm required to substantiate affect the decision? Do agency organizational culture issues influence the decision? To what extent do factors such as the source of the report, nature of maltreatment, age of the child, willingness of the family to cooperate with the investigation, and service availability influence workers' decisions on whether or not to substantiate?

- How often do caseworkers suspect child maltreatment or risk of maltreatment in cases that are not substantiated? How often are potential risk factors for child maltreatment, such as substance abuse or domestic violence, seen in unsubstantiated cases? How frequently are allegations of maltreatment found to be intentionally false?

- How does the expenditure of agency resources (including worker time) in unsubstantiated cases compare with the expenditure of resources in substantiated cases?

- What service interventions (including removal from home) did children and families receive during or as a result of the investigation? In States implementing CPS reform through a differentiated response system, does this reform affect the degree to which families in unsubstantiated cases receive services?

- What outcomes were seen for children and families who were the subjects of unsubstantiated reports? Did they return in later reports of either substantiated or unsubstantiated maltreatment? What effect do families report experiencing as a result of CPS involvement?

Minimum Requirements for Project Design: As part of addressing the evaluation criteria outlined in Part II of this announcement, each applicant must

address the following items in the program narrative section of the proposal.

(a) Objectives

- Pinpoint the research problem being addressed.
- State the specific objectives of the study.
- State the question(s) to be answered or hypothesis(es) to be tested.

(b) Background and Significance

- Describe the conceptual framework that includes appropriate cultural perspectives and reference theory, if any, in support of the study.

- Discuss the current state of knowledge related to the research problem, providing a review of the relevant literature, including previous studies on the topic or pilot tests; describe how the proposed research has direct application to the field of child abuse and neglect within the context of NCCAN's legislative responsibilities.

- Establish the need for the study as either a replication to validate existing knowledge or as a new study to fill a knowledge gap. If applicable, indicate how the proposed study is distinguished from other on-going research of which it is a part.

- Indicate how the proposed study findings significantly inform policy, improve practice, and/or advance the science of child abuse and neglect research.

- Include all bibliographic references.

(c) Methodology

- Describe the proposed methodology. Define the terms, variables, and design to be used in the study.

- Describe the sample selection sites, population and sampling plan, the rationale, strengths, and potential limitations for interpretations of findings due to the gender and ethnic composition of the proposed study sample.

- Provide realistic estimates of attrition and discuss appropriate procedures for handling attrition or interpreting the findings of the study in light of attrition.

- Identify data collection procedures and instruments, including information on reliability and validity of the instruments with the population proposed.

- Provide a data analysis plan appropriate to the study.

- Provide assurance that a carefully prepared and thoroughly documented data set comprising the research data collected for the study be deposited in the National Data Archive on Child

Abuse and Neglect within two years of the termination of funding for the project.

- Provide Certification of Protection of Human Subjects Assurance as part of the application; describe procedures for soliciting approval from an institutional review board (IRB), if applicable; describe data management plan to safeguard the integrity and confidentiality of data.

- Reflect sensitivity to ethical issues that may arise and make provision for reporting suspected abuse and/or neglect as governed by applicable laws and regulations.

- Provide a workable plan of action; detail a reasonable time-line and target dates; include an adequate staffing plan, listing key and support staff, consultants, any agency, organization, other key group, and/or advisory panels involved or proposed; and describe the responsibilities, activities, and/or training plans for each, if applicable.

- Propose reasonable and appropriate project costs and allocate sufficient funds across component areas. This information should be given in the budget narrative section.

- Describe strategies for disseminating the findings in a manner that would be useful to other researchers and practitioners in the field.

(d) Staff Background and Organizational Experience

- Describe the academic qualifications of the principal investigator and the key project staff and consultants, if any, identified in the methodology section; identify the role of the author(s) of the proposal in relation to the work-plan; include a brief curriculum vitae for each key staff person.

- Describe the adequacy of the available facilities and the capability of the organization to administer and implement the project effectively and efficiently; if State or county CPS data or records are planned to be used, and if the applicant is not a State or county CPS agency, document a commitment from the relevant CPS agency to provide the applicant researcher access to the data or case records.

- Describe the relationship between this project and any other Federally-assisted work planned, anticipated, or underway, by the applicant.

- Provide assurances that one key staff person will attend a three-day annual Spring meeting of NCCAN research grantees in Washington, D.C. with an interim progress report of the research; prepare quarterly progress reports, and a final project report in an

NCCAN-suggested format ensuring ease of dissemination and utilization.

Project Duration: The length of the project may not exceed 36 months.

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period.

Matching Requirements: There is no matching requirement.

Anticipated Number of Projects to be Funded: Pending the availability of funding in FY 1997 or FY 1998, it is anticipated that up to three projects will be funded at the maximum funding level or more than three if applications for lesser amounts are funded.

2.04 Multi-State Foster Care Data Archive

Eligible Applicants: State or local, public or nonprofit, agencies, universities, and nonprofit organizations or institutions.

Purpose: To support the development, refinement and implementation of methods to link State-level foster care administrative data to other data at the State level for use in policy development and research through the maintenance and expansion to twelve States of a multi-State foster care data archive.

Background Information: For many years, concerns have been raised about the lack of information available on children in foster care. To address some of these concerns, in 1986 Congress amended title IV-E of the Social Security Act by adding section 479 which required the Federal government to institute a foster care and adoption data collection system. In response to this legislative mandate, the Administration for Children and Families (ACF) has implemented the Adoption and Foster Care Analysis and Reporting System (AFCARS). The AFCARS collects information on children in foster care and children adopted through the public child welfare system. The system is mandatory, and the failure of a State to submit reliable data will soon result in financial penalties.

Although AFCARS substantially improves information available on children in foster care and children being adopted, it is not intended to, nor will it ever, provide all of the information necessary to develop policy at the Federal, State and local levels on this population of children. There are, however, other existing data sources that have historically been under-utilized. Primary among these are the statewide information and tracking systems on children in foster care established to meet the requirements of

Public Law 96-272, the Adoption Assistance and Child Welfare Act of 1980 and being modified or developed through the use of enhanced funding for Statewide Automated Child Welfare Information Systems (SACWIS). Frequently these systems have data for long periods of time which permit longitudinal analyses. In addition, because they contain more detailed information than is reported to AFCARS, individual cases can be linked across various data systems at the State level.

There are a number of administrative databases at the State level which relate to children in foster care. Some of these are data on child protective services investigations, Medicaid utilization, education, Temporary Assistance to Needy Families (TANF) or Child Support Enforcement, and data maintained by vital statistics offices. These and other administrative databases maintained by the States can be used to provide detailed information on how the foster care population changes over time, services being utilized and their costs, and comparisons of how foster care children and their families might differ from other children and their families in the frequency and/or intensity of their receipt of services or participation in various programs.

The proposed project will be voluntary for the States and should include a wider range of information and data sources than is mandated by AFCARS or utilized in the National Child Abuse and Neglect Data System (NCANDS). Information generated by the project will be used to supplement information generated by AFCARS, NCANDS and other major research efforts supported by the Federal government and foundations.

Prior work in this area has been conducted by the Chapin Hall Center for Children at the University of Chicago in collaboration with States and other university-based researchers under a five year grant from the Children's Bureau which was awarded in FY 1992. This grant established the Multi-State Foster Care Data Archive which includes foster care data from the States of Illinois, New York, Michigan, California, Texas, Missouri, and Florida. By the end of the grant period in September 1997, an additional three States are expected to be added bringing the total number of States to ten.

Through this grant and other funding from the Administration on Children and Families, the Assistant Secretary for Planning and Evaluation, other Federal agencies, States and foundations, the Archive has produced analyses on the

case flow in foster care, adoption disruption, the relationship between child protective services and foster care, relative foster care, and foster care re-entry, to name a few. This new project seeks to expand the Archive to 12 States and to focus the analyses on linking State administrative data to other databases at the State level to inform policy and practice at the local, State and Federal levels.

Minimum Requirements for Project Design: This is a three-year cooperative agreement project in which substantial Federal involvement is anticipated. The specific respective responsibilities of Federal staff and the awardee will be negotiated prior to the grant award. In order to compete successfully under this priority area, as part of addressing the evaluation criteria (a. objectives, b. background and significance, c. methodology, and d. staff background and organizational experience) outlined in Part II of this announcement, as appropriate to this project, each applicant must address the following items in the program narrative section of the proposal:

- Describe the applicant's experience in developing analytical files from large, complex case-specific databases; conducting analyses of case-specific child welfare and other related administrative data files; linking data through time and from different databases; and developing and maintaining data archives and insuring the confidentiality of the data. Also describe the hardware and software currently available to the applicant in the conduct of the project as well as additional hardware and/or software needed to conduct the project.

- Describe how the current participants in the Archive would be encouraged to continue in Archive activities and which activities would be continued or initiated which would encourage the use of the analyses by the State participants.

- Describe how at least two additional States would be identified and recruited to participate in the project. This should include a discussion of the applicant's experience in recruiting States to participate in similar activities; how State staff and university researchers would be identified; how access to the administrative databases would be achieved; how the appropriateness of administrative databases would be assessed; and how full participation of the States would be assured by the end of the project.

- Describe how technical assistance in developing analytical files, linking databases and conducting analyses

would be delivered to those States which need it.

- Describe how an advisory committee for the project would be established and its composition. Discuss why the composition is appropriate.

- Describe how topic areas for exploration would be identified and prioritized.

- Describe activities that would be undertaken to develop, refine and implement methods to link State-level foster care administrative data to other data at the State level for use in policy development and research. Specifically, provide an outline of the steps that would be undertaken in the States to obtain access to these other databases and discuss some of the technical issues involved in conducting this type of work.

- Describe the frequency and content of briefings on findings for Federal, State and national organization staff that would be conducted under the grant and how these briefings would relate the research findings to policy and practice issues.

- Describe the reports, including an annual report, that would be developed under the project, including the types of information that would be presented, and the steps, including submission for publication to refereed journals, that would be undertaken to disseminate and promote the utilization of project findings. Also describe how information on project findings would be disseminated to both participating and non-participating States.

- Describe how support would be obtained from sources other than this cooperative agreement during the period of the project to enhance its work and how the project would continue with funds from other sources after the three-year project period has ended.

- Describe how the Archive will help inform, coordinate and collaborate with other major research and data collection activities such as AFCARS and the National Child Abuse and Neglect Data System (NCANDS) and other longitudinal research supported by ACF.

- Provide assurances that the principal investigator would attend a 2-3 day annual meeting of research grantees in Washington, D.C.

- Outline a plan of interaction with the Administration for Children and Families (ACF) for the implementation of the project under a cooperative agreement including, as appropriate, activities such as an annual briefing of Central Office staff and involving Headquarters and Regional Office staff in other ways in the project.

Project Duration: The length of the project must not exceed 36 months.

Federal Share of Project Costs: The maximum Federal share is not to exceed \$250,000 per 12-month budget period.

Matching Requirement: There is no matching requirement.

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

Part III. Instructions for the Development and Submission of Applications

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

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

A. Paperwork Reduction Act of 1995

In accordance with the Paperwork Reduction Act of 1995 (Pub. L. 104-13), all information collections within this announcement are approved under OMB Control Number 0970-0139, the Uniform Discretionary Grant Application Form. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

B. Availability of Forms

Eligible applicants interested in applying for funds must submit a complete application including the required forms at the end of this program announcement in Appendix A. In order to be considered for a grant or cooperative agreement under this announcement, an application must be submitted on the Standard Form 424 (approved by OMB under Control Number 0348-0043). Each application must be signed by an individual authorized to act for the applicant and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs" (approved by OMB under control number 0348-0040). Applicants must sign and return the Standard Form

424B (approved by OMB Control Number 0348-0340) with their application. Applicants must provide a certification regarding lobbying (approved by OMB under Control Number 0348-0046). Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification (approved by OMB under control number 0348-0046). Applicants must sign and return the certification with their application.

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

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

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

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 B. If there is a question regarding the applicability of this assurance, contact the Office of 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.

C. Required Notification of the State Single Point of Contact

This program is covered under Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human

Services Program and Activities." Under the Order, States may design 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: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

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

D. Deadline for Submission of Applications

Deadline

Mailed applications shall be considered as meeting an announced deadline if they are received on or

before the deadline time and date at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447, Attention: Application for Child Abuse and Neglect Research Project. Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date.

Applications hand carried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m., at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, S.W., Washington, D.C. 20024, between Monday and Friday (excluding weekends and Federal holidays). **Any application received after 4:30 p.m. on the deadline date will not be considered for competition.** Applicants using express/overnight services should allow for two working days prior to the deadline date for receipt of applications. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

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

Late Applications

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

Extension of Deadlines

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

E. Instructions for Preparing the Application under Appendix A-ACF Uniform Discretionary Grant Application Form (ACF/UDGAF)

Under the ACF/UDGAF, applications submitted for funds under this announcement are considered New

Applications, therefore, follow instructions in the UDGAF for New Applications.

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

Please prepare your application in accordance with the following instructions:

1. SF 424 Page 1, Application Cover Sheet

Please read the following instructions before completing the application cover sheet. An explanation of each item is included. Complete only the items specified.

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

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

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

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

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

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

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

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

Name and telephone number of the person to be contacted on matters involving this application (include area code)—Enter the full name (including academic degree, if applicable) and telephone number of a person who can respond to questions about the application. This person should be accessible at the address given here and

will receive all correspondence regarding the application.

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

Item 7. Type of Applicant—Self-explanatory.

Item 8. Type of Application—Check new application.

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

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

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

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

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

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

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

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

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

Item 15f. Enter the estimated amount of income, if any, expected to be generated from the proposed project. Do not add or subtract this amount from the total project amount entered under item 15g. Describe the nature, source and

anticipated use of this income in the Project Narrative Statement.

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

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

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

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

Item 18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.—To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for signature of this application by this individual as the official representative must be on file in the applicant's office, and may be requested from the applicant.

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

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

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

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

This is a form used by many Federal agencies. For this application, Sections

A, B, C, E and F are to be completed. Section D does not need to be completed.

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

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

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

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

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

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

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

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

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

Justification: Include the name(s) of traveler(s), total number of trips, destinations, length of stay,

transportation costs and subsistence allowances.

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

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

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

Justification: Specify general categories of supplies and their costs.

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

Justification: Attach a list of contractors, indicating the names of the organizations, the purposes of the contracts, and the estimated dollar amounts of the awards as part of the budget justification. Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must complete this section (Section B, Budget Categories) for each delegate agency by agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide back-up documentation identifying the name of contractor, purpose of contract, and major cost elements. Applicants who anticipate procurement that will exceed \$5,000 (non-governmental entities) or \$25,000 (governmental entities) and are requesting an award without competition should include a sole-source justification in the proposal which at a minimum should include the basis for contractor's selection, justification for lack of competition when competitive bids or offers are not obtained and basis for award cost or

price. (NOTE: Previous or past experience with a contractor is not sufficient justification for sole source.)

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

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

Justification: Specify the costs included.

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

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

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

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

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

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

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

Section C—Non-Federal Resources. This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12 entitled Totals. In-kind contributions are defined in 45 CFR, Part 74.51 and 45 CFR Part 92.3, as property or services which benefit a grant-supported project or program and which are contributed by non-Federal third parties without charge to the grantee, the sub-grantee, or a cost-type contractor under the grant or sub-grant.

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

Section D—Forecasted Cash Needs, Not applicable.

Section E—Budget Estimate of Federal Funds Needed For Balance of the Project. This section should only be completed if the total project period exceeds 12 months.

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

Section F—Other Budget Information Direct Charges—Line 21, Not applicable.

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

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

3. Project Summary Description

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

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

At the bottom of the page, following the summary description, type up to 10

key words which best describe the proposed project, the service(s) involved and the target population(s) to be covered. These key words will be used for computerized information retrieval for specific types of funded projects. Applicants should refer to the instructions in Appendix A under the Program Narrative section on page 23 (Item A.1) regarding the project summary.

4. Program Narrative Statement

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

The narrative should provide information c Background and Significance.

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

The length of the application, including the application forms and all attachments, should not exceed 60 pages, except for applications for priority area 2.02 which has different page limits as described in that section of the announcement. Anything over the limit will not be reproduced and distributed to reviewers. Applicants should understand that except for priority area 2.02, only the first 60 pages of material will be reviewed. A page is a single side of an 8½" x 11" sheet of paper. Applicants are requested not to send pamphlets, brochures or other printed material along with their application as these pose xeroxing difficulties. These materials, if submitted, will not be included in the review process if they exceed the page limit criteria. Each page of the application will be counted to determine the total length.

5. Organizational Capability Statement

The Organizational Capability Statement should consist of a brief (two pages is suggested) background description of how the applicant organization (or the unit within the

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

6. Assurances/Certifications

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

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

F. Checklist for a Complete Application

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

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

- Budget Information-Non-Construction Programs (SF 424A, REV 4-88);
- Budget justification for Section B-Budget Categories;
- Table of Contents;
- Letter from the Internal Revenue Service to prove non-profit status, if necessary;
- Copy of the applicant's approved indirect cost rate agreement, if appropriate;
- Project summary description and listing of key words;
- Program Narrative Statement (See Part III, Section D);
- Organizational capability statement, including an organization chart;
- Any appendices/attachments;

- Assurances-Non-Construction Programs (Standard Form 424B, REV 4-88);
- Certification Regarding Lobbying; and
- Certification of Protection of Human Subjects, if necessary.

G. The Application Package

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

such as agency promotion brochures, slides, tapes, film clips, minutes of meetings, survey instruments or articles of incorporation.

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

Dated: June 19, 1997.

James A. Harrell,

Acting Commissioner, Administration on Children, Youth and Families.

BILLING CODE 4184-01-P

Appendix A

OMB Approval No. 0348-0043

Previous Edition Usable
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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					
	(1)	(2)	(3)	(4)	Total (5)	
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6 h)						
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

Instructions for the SF 424A

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

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

General Instructions

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

Section A. Budget Summary Lines 1-4
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 sum of amounts in Columns (e) and (f).

Line 5—Show the total for all columns used.

Section B. Budget Categories

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

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

Line 6j—Show the amount of 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 contributions 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

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

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

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

Section F. Other Budget Information

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

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

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

Assurances—Non-Construction Programs

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

the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of 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 nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

8. Will comply, as applicable, with 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

Applicant Organization

Title

Date Submitted

Program Narrative

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

The program narrative provides a major means by which the application is evaluated and ranked to compete with other applications for available assistance. It should be concise and complete and should address the activity for which Federal funds are requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other

information considered to be relevant. Awarding offices use this and other information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources directly related to the proposed project from those which will not be used in support of the specific project for which funds are requested.

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

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

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

A. Project Description—Components

1. Project Summary/Abstract

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

2. Objectives and Need for Assistance

Applicants must clearly identify the physical, economic, social, financial, institutional, or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation such as letters of support and testimonials from concerned interests other than the applicant may be included. Any relevant data based on planning studies should be included or referenced in the endnotes/footnotes. Incorporated 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 Continuation 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 governments 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 projects 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 schedule, 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 nonfederal 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 commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

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

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

Travel. Costs of project related travel by employees of the applicant organization (does not include 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. Costs of all tangible personal property (supplies) other than that included under the Equipment category.

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

Contractual. Costs of all contracts for services and goods except for those which belong under other categories such as equipment, supplies, construction, etc. Third-party evaluation contracts (if applicable) and contracts with secondary recipient organizations including delegate agencies and specific project(s) of 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 currently has an indirect cost rate approved by the Department of Health and Human Services or another cognizant Federal agency.

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

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

Justification: Describe the nature, source and anticipated use of program income in the

budget or reference pages in the program narrative statement which contain this information.

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

(Instructions for Certification)

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

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

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

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

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

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

[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.

(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.

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

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

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

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

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses

enumerated in paragraph (1)(b) of this certification; and

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

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

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. (with area code)	12. Fax No. (with area code)		
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 office 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, of 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 not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grants, 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 \$100 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: 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) 528-1547

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) 631-3909

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: 011-671-472-2825

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) 723-4444, FAX: (809) 724-3270, (809) 724-3103

North Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP, Northern Mariana Islands 96950; Telephone: (670) 664-2289, FAX: (670) 644-2272

Virgin Islands

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

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

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 point 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.

[FR Doc. 97-16935 Filed 6-27-97; 8:45 am]

BILLING CODE 4184-01-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Food and Drug Administration

[Docket No. 97M-0254]

Cytoc Corp. Premarket Approval Of ThinPrep® 2000 Processor

AGENCY: Food and Drug Administration, HHS.

ACTION: Notice.

SUMMARY: The Food and Drug Administration (FDA) is announcing its approval of the application by Cytoc Corp., Marlborough, MA, for premarket approval, under the Federal Food, Drug, and Cosmetic Act (the act), of the ThinPrep® 2000 System. After reviewing the recommendation of the Hematology and Pathology Devices Panel, FDA's Center for Devices and Radiological Health (CDRH) notified the applicant, by letter of May 20, 1996, of the approval of the application.

DATES: Petitions for administrative review by July 30, 1997.

ADDRESSES: Written requests for copies of the summary of safety and effectiveness data and petitions for administrative review to the Dockets Management Branch (HFA-305), Food and Drug Administration, 12420 Parklawn Dr., rm. 1-23, Rockville, MD 20857.

FOR FURTHER INFORMATION CONTACT:

Peter E. Maxim, Center for Devices and Radiological Health (HFZ-440), Food and Drug Administration, 2098 Gaither Rd., Rockville, MD 20850, 301-594-1293.

SUPPLEMENTARY INFORMATION: On November 22, 1995, Cytoc Corp., Marlborough, MA 01752, submitted to CDRH an application for premarket approval of the ThinPrep® 2000 System. The device is an automated cytology slide preparation instrument and is intended as a replacement for the conventional method of pap smear preparation for use in screening for the presence of atypical cells, cervical cancer, or its precursor lesions (Low Grade Squamous Intraepithelial Lesions, High Grade Squamous Intraepithelial Lesions), as well as all other cytologic categories as defined by The Bethesda System for Reporting Cervical/Vaginal Cytologic Diagnoses.

On June 7, 1993, the Hematology and Pathology Devices Panel of the Medical

Devices Advisory Committee, an FDA advisory committee, reviewed and recommended approval of the application. Cytoc Corp. withdrew the application and subsequently resubmitted the application on November 22, 1995.

On May 20, 1996, CDRH approved the application by a letter to the applicant from the Director of the Office of Device Evaluation, CDRH.

A summary of the safety and effectiveness data on which CDRH based its approval is on file in the Dockets Management Branch (address above) and is available from that office upon written request. Requests should be identified with the name of the device and the docket number found in brackets in the heading of this document.

Opportunity For Administrative Review

Section 515(d)(3) of the act (21 U.S.C. 360e(d)(3)) authorizes any interested person to petition, under section 515(g) of the act, for administrative review of CDRH's decision to approve this application. A petitioner may request either a formal hearing under 21 CFR part 12 of FDA's administrative practices and procedures regulations or a review of the application and CDRH's action by an independent advisory committee of experts. A petition is to be in the form of a petition for reconsideration under 21 CFR 10.33(b). A petitioner shall identify the form of review requested (hearing or independent advisory committee) and shall submit with the petition supporting data and information showing that there is a genuine and substantial issue of material fact for resolution through administrative review. After reviewing the petition, FDA will decide whether to grant or deny the petition and will publish a notice of its decision in the **Federal Register**. If FDA grants the petition, the notice will state the issue to be reviewed, the form of the review to be used, the persons who may participate in the review, the time and place where the review will occur, and other details.

Petitioners may, at any time on or before July 30, 1997, file with the Dockets Management Branch (address above) two copies of each petition and supporting data and information, identified with the name of the device and the docket number found in brackets in the heading of this document. Received petitions may be seen in the office above between 9 a.m. and 4 p.m., Monday through Friday. This notice is issued under the Federal Food, Drug, and Cosmetic Act (secs.