

# DEPARTMENT OF HEALTH AND HUMAN SERVICES

## Administration for Children and Families

[Program Announcement No. 93631-97-02]

### Developmental Disabilities: Availability of Financial Assistance for Projects of National Significance for Fiscal Year 1997

**AGENCY:** Administration on Developmental Disabilities (ADD), Administration for Children and Families (ACF).

**ACTION:** Announcement of availability of financial assistance for Projects of National Significance for fiscal year 1997.

**SUMMARY:** The Administration on Developmental Disabilities, Administration for Children and Families, announces that applications are being accepted for funding of Fiscal Year 1997 Projects of National Significance.

This program announcement consists of five parts. Part I, the Introduction, discusses the goals and objectives of ACF and ADD. Part II provides the necessary background information on ADD for applicants. Part III describes the review process. Part IV describes the priority under which ADD requests applications for Fiscal Year 1997 funding of projects. Part V describes in detail how to prepare and submit an application. All of the forms and instructions necessary to submit an application are published as part of this announcement following Part V.

*No separate application kit is either necessary or available for submitting Project of National Significance grant application. If you have a copy of this announcement, you have all the information and forms required to submit an application.*

Grants will be awarded under this program announcement subject to the availability of funds for support of these activities.

**DATES:** The closing date for submittal of applications under this announcement is September 5, 1997. Mailed or handcarried applications received after 4:30 p.m. on the closing date will be classified as late.

**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, ACF/Administration on Developmental Disabilities, Third Floor, 200 Independence Avenue SW,

Washington, DC 20201, Attention: Joan Rucker.

Applications handcarried by applicants, applicant couriers, other representatives of the applicant, 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., EST, at the U.S. Department of Health and Human Services, ACF/Administration on Developmental Disabilities, Mailroom, Rm. G644, 330 Independence Avenue SW, Washington, DC 20201, between Monday and Friday (excluding Federal holidays). This address must appear on the envelope/package containing the application with the note "Attention: Joan Rucker". Applicants using express/overnight services should allow 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.) Any applications received after 4:30 p.m. on the deadline date will not be considered for competition.

ADD cannot accommodate transmission of applications by fax or through other electronic media. Therefore, applications transmitted to ADD 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. ADD shall notify each late applicant that its application will not be considered in the current competition.

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

**FOR FURTHER INFORMATION CONTACT:** Adele Gorelick (202-690-5982) or Pat Laird (202-690-7447), Program Development Division, Administration on Developmental Disabilities.

**Notice of Intent to Submit Application:** If you intend to submit an application, please send a post card with the number and title of this announcement, your organization's name and address, and your contact person's name, phone and fax numbers, and e-mail address to: Administration on Developmental Disabilities, 200 Independence Avenue, Rm. 329D, Washington, DC, 20201, Attn: Projects of National Significance.

This information will be used to determine the number of expert reviewers needed and to update the mailing list to whom program announcements are sent.

## SUPPLEMENTARY INFORMATION:

### Part I. General Information

#### A. Goals of the Administration on Developmental Disabilities

The Administration on Developmental Disabilities (ADD) is located within the Administration for Children and Families (ACF), Department of Health and Human Services (DHHS). Although different from the other ACF program administrations in the specific populations it serves, ADD shares a common set of goals that promote the economic and social well-being of families, children, individuals and communities. Through national leadership, ACF and ADD envision:

- Families and individuals empowered to increase their own economic independence and productivity;
- Strong, healthy, supportive communities having a positive impact on the quality of life and the development of children;
- Partnerships with individuals, front-line service providers, communities, States and Congress that enable solutions which transcend traditional agency boundaries;
- Services planned and integrated to improve client access;
- A strong commitment to working with Native Americans, persons with developmental disabilities, refugees and migrants to address their needs, strengths and abilities; and
- A community-based approach that recognizes and expands on the resources and benefits of diversity.

Emphasis on these goals and progress toward them will help more individuals, including people with developmental disabilities, to live productive and independent lives integrated into their communities. The Projects of National Significance Program is one means through which ADD promotes the achievement of these goals.

#### B. Purpose of the Administration on Developmental Disabilities

The Administration on Developmental Disabilities (ADD) is the lead agency within ACF and DHHS responsible for planning and administering programs which promote the self-sufficiency and protect the rights of persons with developmental disabilities.

The Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6000, *et seq.*) (the Act) supports and provides assistance to States and public and private nonprofit agencies and organizations to assure that individuals with developmental disabilities and their families participate in the design of and have access to culturally competent services, supports, and other assistance and opportunities that promote independence, productivity, integration and inclusion into the community.

In the Act, Congress expressly found that:

- Disability is a natural part of the human experience that does not diminish the right of individuals with developmental disabilities to enjoy the opportunity for independence, productivity, integration and inclusion into the community;
- Individuals whose disabilities occur during their developmental period frequently have severe disabilities that are likely to continue indefinitely;
- Individuals with developmental disabilities often require lifelong specialized services and assistance, provided in a coordinated and culturally competent manner by many agencies, professionals, advocates, community representatives, and others to eliminate barriers and to meet the needs of such individuals and their families;

The Act further established as the policy of the United States:

- Individuals with developmental disabilities, including those with the most severe developmental disabilities, are capable of achieving independence, productivity, integration and inclusion into the community, and often require the provision of services, supports and other assistance to achieve such;
- Individuals with developmental disabilities have competencies, capabilities and personal goals that should be recognized, supported, and encouraged, and any assistance to such individuals should be provided in an individualized manner, consistent with the unique strengths, resources, priorities, concerns, abilities, and capabilities of the individual;
- Individuals with developmental disabilities and their families are the primary decision makers regarding the services and supports such individuals and their families receive; and play decision making roles in policies and programs that affect the lives of such individuals and their families; and
- It is in the nation's interest for people with developmental disabilities to be employed, and to live

conventional and independent lives as a part of families and communities.

Toward these ends, ADD seeks to enhance the capabilities of families in assisting people with developmental disabilities to achieve their maximum potential to support the increasing ability of people with developmental disabilities to exercise greater choice and self-determination; to engage in leadership activities in their communities; as well as to ensure the protection of their legal and human rights.

The four programs funded under the Act are:

- Federal assistance to State developmental disabilities councils;
- State system for the protection and advocacy of individuals rights;
- Grants to University Affiliated Programs for interdisciplinary training, exemplary services, technical assistance, and information dissemination; and
- Grants for Projects of National Significance.

#### *C. Statutory Authorities Covered Under This Announcement*

The Developmental Disabilities Assistance and Bill of Rights Act of 1996, 42 U.S.C. 6000, *et seq.* The Projects of National Significance is Part E of the Developmental Disabilities Assistance and Bill of Rights Act of 1996, 42 U.S.C. 6081, *et seq.*

### **Part II. Background Information For Applicants**

#### *A. Description of Projects of National Significance*

Under Part E of the Act, grants and contracts are awarded for projects of national significance that support the development of national and State policy to enhance the independence, productivity, and integration and inclusion of individuals with developmental disabilities through:

- Data collection and analysis;
- Technical assistance to enhance the quality of State developmental disabilities councils, protection and advocacy systems, and university affiliated programs; and
- Other projects of sufficient size and scope that hold promise to expand or improve opportunities for people with developmental disabilities, including:
  - Technical assistance for the development of information and referral systems;
  - Educating policy makers;
  - Federal interagency initiatives;
  - The enhancement of participation of minority and ethnic groups in public and private sector initiatives in developmental disabilities;

- Transition of youth with developmental disabilities from school to adult life; and
- Special pilots and evaluation studies to explore the expansion of programs under part B (State developmental disabilities councils) to individuals with severe disabilities other than developmental disabilities.

#### *B. Comments on FY 1997 Proposed Priority Areas*

The notice requesting comments on the FY 1997 proposed priority areas was published in the **Federal Register** on April 16, 1997 (62 FR 18633). A 60-day period was required to allow the public to comment on the proposed areas. After review and analysis of these comments, ADD is publishing its final priority in this announcement.

The public comment notice requested specific comments and suggestions on the proposed funding priorities and recommendations for additional priority areas to help bring about the increased independence, productivity, and integration into the community of people with developmental disabilities.

ADD received 34 letters by the closing date in response to the public comment notice. Commentary was from the following sources:

- Advocacy agencies, including national organizations and associations, national advocacy groups and State/local advocacy groups;
- Service organizations, including agencies that provide services for individuals with developmental disabilities as well as providing advocacy services on behalf of a particular disability, including developmental disabilities councils;
- Educational systems, including schools, colleges, and universities, programs located within a university setting and University Affiliated Programs;
- Private agencies, including national, State, and local nonprofit organizations;
- Government agencies, including Federal, State, county, and local government agencies; and
- Private individuals.

Comments ranged from requests for copies of the final application solicitation, to general support, to informative, clarifying responses for this year's proposed funding priorities and recommendations for other priority areas. The vast majority supported and expanded upon what we proposed in the announcement, in addition to relating specifically to the program goals and priorities of the particular agencies submitting the comments.

The comments helped highlight the concerns of the developmental disabilities field and have been used in refining the final priority areas.

After careful review of comments on "Priority Area 1: Managed Care and Disability", ADD has decided to defer funding a project in this area. ADD received little specific guidance on what should be the critical activities conducted in this area. This may be due to the fact that this is still an unknown area where much activity is taking place but no results or best practices have been identified as yet as it relates to people with developmental disabilities and families of children with developmental disabilities. Many of the activities taking place are projects supported by federal agencies such as the Office of Planning and Evaluation and the Health Care Financing Administration/ Department of Health and Human Services, and the National Institute on Disability and Rehabilitation Research/Department of Education. ADD has also supported various activities in managed care through funding of a national clearinghouse on managed care and long-term support and services for adults with developmental disabilities and their families; a joint task force of the American Association of University Affiliated Programs and the Center for the Health Professions (Univ. of California/ San Francisco) which is studying the implications of managed care on professional education, service delivery, and research issues; and video and training materials for individuals with developmental disabilities and families. ADD realizes this is a critical area for the constituency it represents and will re-examine this topic again when it is developing its priorities for next fiscal year.

In some of the proposed priority areas ADD used the phrase "people with developmental disabilities and families of children with developmental disabilities"; it became apparent that a point of clarification is needed regarding the latter part of the phrase as it relates to the role of families of adults with developmental disabilities. ADD believes that the individual with a developmental disability should be afforded both the opportunity and necessary assistance to express and make decisions over their own lives but understands that under certain circumstances it may be appropriate and necessary for parents or guardians of such individuals to be consulted as primary decision-makers. However, even when some form of surrogate decision making is deemed necessary, adults with developmental disabilities

should be provided the opportunities and supports to express personal preferences and choices affecting their own lives and futures to the maximum extent feasible. Applicants are encouraged to give this due consideration in their proposals.

ADD further recognizes issues around surrogate decision making and decision making supports for people with developmental disabilities to be critical and timely ones and will also re-examine these topics again when it is developing its priorities for the next fiscal year.

### **Part III. The Review Process**

#### *A. Eligible Applicants*

Before applications under this Announcement are reviewed, each will be screened to determine that the applicant is eligible for funding as specified under the selected priority area. Applications from organizations which do not meet the eligibility requirements for the priority area will not be considered or reviewed in the competition, and the applicant will be so informed.

Only public or non-profit private entities, not individuals, are eligible to apply under any of the priority areas. All applications developed jointly by more than one agency or organization must identify only one organization as the lead organization and official applicant. The other participating agencies and organizations can be included as co-participants, subgrantees or subcontractors.

Nonprofit organizations must submit proof of nonprofit status in their applications at the time of submission. One means of accomplishing this is by providing a copy of the applicant's listing in the Internal Revenue Service's 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.

ADD cannot fund a nonprofit applicant without acceptable proof of its nonprofit status.

#### *B. Review Process and Funding Decisions*

Timely applications under this Announcement from eligible applicants received by the deadline date will be reviewed and scored competitively. Experts in the field, generally persons from outside of the Federal Government, will use the appropriate evaluation

criteria listed later in this Part to review and score the applications. The results of this review are a primary factor in making funding decisions.

ADD reserves the option of discussing applications with, or referring them to, other Federal or non-Federal funding sources when this is determined to be in the best interest of the Federal Government or the applicant. It may also solicit comments from ADD 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 ADD in making funding decisions.

In making decisions on awards, ADD will consider whether applications focus on or feature: services to culturally diverse or ethnic populations among others; a substantially innovative strategy with the potential to improve theory or practice in the field of human services; a model practice or set of procedures that holds the potential for replication by organizations administering or delivering of human services; substantial involvement of volunteers; substantial involvement (either financial or programmatic) of the private sector; a favorable balance between Federal and non-Federal funds available for the proposed project; the potential for high benefit for low Federal investment; a programmatic focus on those most in need; and/or substantial involvement in the proposed project by national or community foundations.

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

#### *C. Evaluation Criteria*

Using the evaluation criteria below, a panel of at least three reviewers (primarily experts from outside the Federal Government) will review the applications. To facilitate this review, applicants should ensure that they address each minimum requirement in the priority area description under the appropriate section of the Program Narrative Statement.

Reviewers will determine the strengths and weaknesses of each application in terms of the evaluation criteria, provide comments, and assign numerical scores. The point value following each criterion heading

indicates the maximum numerical weight that each section may be given in the review process.

All applications will be evaluated against the following criteria:

**1. Objectives and Need for Assistance (20 points)**

The extent to which the application pinpoints any relevant physical, economic, social, financial, institutional or other problems requiring a solution; demonstrates the need for the assistance; states the principal and subordinate objectives of the project; provides supporting documentation or other testimonies from concerned interests other than the applicant; and includes and/or footnotes relevant data based on the results of planning studies. The application must identify the precise location of the project and area to be served by the proposed project. Maps and other graphic aids should be attached.

**2. Results or Benefits Expected (20 points)**

The extent to which the application identifies the results and benefits to be derived, the extent to which they are consistent with the objectives of the application, and the extent to which the application indicates the anticipated contributions to policy, practice, theory and/or research. The extent to which the proposed project costs are reasonable in view of the expected results.

**3. Approach (35 points)**

The extent to which the application outlines a sound and workable plan of action pertaining to the scope of the project, and details how the proposed work will be accomplished; cites factors which might accelerate or decelerate the work, giving acceptable reasons for taking this approach as opposed to others; describes and supports any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements; and provides for projections of the accomplishments to be achieved. Activities to be carried out should be listed in chronological order, showing a reasonable schedule of accomplishments and target dates.

The extent to which, when applicable, the application identifies the kinds of data to be collected and maintained, and discusses the criteria to be used to evaluate the results and successes of the project. The extent to which the application describes the evaluation methodology that will be used to determine if the needs identified and discussed are being met and if the

results and benefits identified are being achieved. The application also lists each organization, agency, consultant, or other key individuals or groups who will work on the project, along with a description of the activities and nature of their effort or contribution.

**4. Staff Background and Organization's Experience (25 points)**

The application identifies the background of the project director/principal investigator and key project staff (including name, address, training, educational background and other qualifying experience) and the experience of the organization to demonstrate the applicant's ability to effectively and efficiently administer this project. The application describes the relationship between this project and other work planned, anticipated or under way by the applicant which is being supported by Federal assistance.

**D. Structure of Priority Area Descriptions**

The priority area description is composed of the following sections:

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

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

- **Background Information:** This section briefly discusses the legislative background as well as the current state-of-the-art and/or current state-of-practice that supports the need for the particular priority area activity. Relevant information on projects previously funded by ACF and/or other State models are noted, where applicable.

- **Minimum Requirements for Project Design:** This section presents the basic set of issues that must be addressed in the application. Typically, they relate to project design, evaluation, and community involvement. This section also asks for specific information on the proposed project. Inclusion and discussion of these items is important since they will be used by the reviewers to evaluate the applications against the evaluation criteria. Project products, continuation of the project after Federal support ceases, and dissemination/utilization activities, if appropriate, are also addressed.

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

- **Federal Share of Project Costs:** This section specifies the maximum amount of Federal support for the project.

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

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

- **CFDA:** This section identifies the Catalog of Federal Domestic Assistance (CFDA) number and title of the program under which applications in this priority area will be funded. This information is needed to complete item 10 on the SF 424.

Please note that applications under this Announcement that do not comply with the specific priority area requirements in the section on "*Eligible Applicants*" will not be reviewed.

Applicants under this Announcement must clearly identify the specific priority area under which they wish to have their applications considered, and tailor their applications accordingly. Experience has shown that an application which is broader and more general in concept than outlined in the priority area description is less likely to score as well as an application more clearly focused on, and directly responsive to, the concerns of that specific priority area.

**E. Available Funds**

ADD intends to award new grants resulting from this announcement during the fourth quarter of fiscal year 1997, subject to the availability of funding. The size of the awards will vary. Each priority area description includes information on the maximum Federal share of the project costs and the anticipated number of projects to be funded.

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

Where appropriate, applicants may propose shorter project periods than the maximums specified in the various priority areas. Non-Federal share contributions may exceed the minimums specified in the various priority areas.

For multi-year projects, continued Federal funding beyond the first budget period, but within the approved project period, is subject to the availability of funds, satisfactory progress of the grantee and a determination that

continued funding would be in the best interest of the Government.

#### *F. Grantee Share of Project Costs*

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

An exception to the grantee cost-sharing requirement relates to applications originating from American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Applications from these areas are covered under Section 501(d) of Pub. L. 95-134, which requires that the Department waive "any requirement for local matching funds for grants under \$200,000."

The applicant contribution must generally be secured from non-Federal sources. Except as provided by Federal statute, a cost-sharing or matching requirement may not be met by costs borne by another Federal grant. However, funds from some Federal programs benefitting Tribes and Native American organizations have been used to provide valid sources of matching funds. If this is the case for a Tribe or Native American organization submitting an application to ADD, that organization should identify the programs which will be providing the funds for the match in its application. If the application successfully competes for PNS grant funds, ADD will determine whether there is statutory authority for this use of the funds. The Administration for Native Americans and the DHHS Office of General Counsel will assist ADD in making this determination.

#### *G. Cooperation in Evaluation Efforts*

Grantees funded by ADD may be requested to cooperate in evaluation efforts funded by ADD. The purpose of these evaluation activities is to learn from the combined experience of multiple projects funded under a particular priority area.

#### *H. Closed Captioning for Audiovisual Efforts*

Applicants are encouraged to include "closed captioning" in the development of any audiovisual products.

### **Part IV. Fiscal Year 1997 Priority Areas for Projects of National Significance—Description and Requirements**

The following section presents the final priority areas for Fiscal Year 1997 Projects of National Significance (PNS) and solicits the appropriate applications.

#### *Fiscal Year 1997 Priority Area 1: Technical Assistance and Knowledge Transfer on Welfare Reform and Individuals with Developmental Disabilities and their Families*

- *Eligible Applicants:* State agencies, public or private nonprofit organizations, institutions or agencies, including a consortia of some or all of the above

- *Purpose:* Under this priority area, ADD will issue a Financial Assistance Award through the instrument of a cooperative agreement that will outline the terms of ADD's involvement as well as the responsibilities of the recipient organization or agency in the development of a national technical assistance and knowledge transfer center on effective Welfare Reform for people with developmental disabilities and their families.

- *Background Information:* ADD finds its mission of promoting the independence, productivity, inclusion, and integration of individuals with developmental disabilities into their communities to be strikingly similar in many ways to the goals of welfare reform.

When we view welfare reform as an effort not only to assist people to leave welfare rolls and poverty, the empowerment of individuals and families is very much like the outcomes ADD hopes to see from its efforts at partnerships to achieve community-based and consumer-driven programs and services.

Over a million children and adults with disabilities and their families will be directly affected by the implementation of all aspects of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996. Such individuals and families should have an equal opportunity to realize the full promise of Welfare Reform, including the chance to work their way out of poverty, while keeping their families healthy, safe and intact.

- *Minimum Requirements for Project Design:* Significant research, best practices and lessons learned exist in regard to assisting children and adults with the full range of developmental disabilities to live, work and become contributing members of their families, communities and nation. States,

communities, businesses, disability constituencies and others can benefit from technical assistance aimed at assisting them to transfer, adapt and apply such knowledge and practice to Welfare Reform activities.

Such technical assistance should seek to better equip these major stakeholders with the skills, knowledge and expertise necessary to apply what is already known to work for persons with developmental disabilities and their families to the Welfare Reform context with respect to:

- (1) Assuring the basic civil rights of, and equal opportunity for, individuals with developmental disabilities and their families on the Temporary Assistance for Needy Families (TANF) Program;

- (2) Making work pay for low-income parents with disabilities and parents of children with developmental disabilities on TANF;

- (3) Encouraging job/business creation by and for low-income families and individuals with developmental disabilities;

- (4) Increasing the access and responsiveness of Head Start and Child Care Programs to families of children with developmental disabilities and parents with disabilities;

- (5) Supporting and strengthening poor families experiencing issues surrounding the challenges of living with developmental disabilities;

- (6) Promoting the safety, healthy development, permanency and well-being of children with developmental disabilities and their families;

- (7) Making welfare reform work for teen parents and other at-risk young people with developmental disabilities;

- (8) Making tribal welfare reform work for Native Americans with developmental disabilities and their families;

- (9) Making welfare reform work for "Qualified Aliens" (as defined in 8 U.S.C. § 1612) with developmental disabilities and their families; and

- (10) Enhancing child support enforcement.

The mission of a national technical assistance and knowledge transfer center on effective Welfare Reform for people with developmental disabilities and their families would be to work with States, the disability community, businesses and others to enhance the likelihood that adults and children with developmental disabilities as well as their families on TANF would have an opportunity to benefit from all aspects of Welfare Reform.

Specifically, the center would establish partnerships with a number of states each year to develop plans for

targeted knowledge transfer strategies and work with all relevant stakeholders to:

- Track and report on trends and practices in welfare reform affecting children and adults with developmental disabilities and their families;
- Convene working conferences to develop and share strategies for responding to opportunities and risks in Welfare Reform for such individuals and families;
- Disseminate relevant research findings pertaining to: (i) the effects of Welfare Reform on persons with developmental disabilities and their families; and, (ii) relationships between disability, poverty, gender, ethnicity and dependency on Aid For Dependent Children (AFDC) and Temporary Aid to Needy Families (TANF);
- Function as a clearinghouse on all relevant information, emerging knowledge, policy, best practices and research;
- Broker technical assistance, especially peer-to-peer consultations, designed to assist such stakeholders to work together to apply to Welfare Reform research and best practices regarding what works for persons with developmental disabilities and their families;
- Assist researchers conducting evaluations of Welfare Reform to assure that such studies are designed and carried out with sensitivity to a wide range of disability policy concerns;
- Track, synthesize, disseminate, facilitate the adaptation and/or replication of best or promising approaches, as well as lessons learned, especially those supported by investments of ADD in DD Councils, Protection and Advocacy Systems, University Affiliated Programs, Projects of National Significance and other Federal or State agencies or foundations;
- Expand leadership development opportunities among individuals and families experiencing developmental disabilities in economically disadvantaged communities; and,
- Sponsor forums, on-line conferences and other ongoing exchanges to facilitate a greater understanding of the impacts of Welfare Reform on individuals with developmental disabilities and their families on the part of States, the disability community, foundations, researchers and others.

There are a number of agencies engaged in projects or the design of projects involving research into welfare reform. ADD award recipients will be expected to track these electronically and consolidate information on findings and contact persons. In particular,

awardees will coordinate with two projects of the Administration for Children and Families: Welfare Reform Studies and Analyses, funded by the Office of Planning, Research, and Evaluation; and the Child Care Inclusion Technical Assistance Project for Children with Disabilities, funded by the Child Care Bureau.

In addition, ADD will be funding two other national center priorities in the areas of self-determination and responsible leadership by and for individuals with developmental disabilities and families of children with developmental disabilities and of analysis of major trends and outcomes data regarding individuals with developmental disabilities and their families. To avoid redundancy in inevitable areas of overlap as we focus on capacity building and to facilitate consistency, it is expected that all awardees will meet with ADD to share their approaches and methodology. ADD will be actively involved in the design of the project, with details of the relationship with the awardee and any subcontractors to be set forth in the cooperative agreement. Proposals should include provisions for travel by key personnel for this purpose.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation;
- Key project personnel with direct life, parental, or familial experience with living with a disability;
- Strong advisory components that consist of a majority of individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the project;
- Research reflecting the principles of participatory action;
- Cultural competency;
- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project;
- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from diverse backgrounds, rural and inner-city areas, and migrant, homeless, and legal immigrant and refugee families;
- Attention to individuals with learning disabilities, which in many instances may meet the definition of developmental disabilities;
- Attention to issues of mental health, which may require work flexibility;

- Compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended (29 U.S.C. 794);

- Collaboration through partnerships and coalitions;

- Development of the capacity to communicate and disseminate information through electronic and other effective, affordable, and accessible formats;

- A community-based approach;

- Identification of barriers and strategies for overcoming barriers;

- An outcome orientation;

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation;

- Development and establishment of practices and programs beyond the project period.

Applications should also include provisions for the travel of two key personnel during the first and last year of the project to Washington, DC for a one day meeting with ADD staff.

As noted earlier, the award will be made as a cooperative agreement. While an organization receiving an award will not be conducting its project on behalf of ADD, ADD and the awardee will work cooperatively in the development and implementation of the project's agenda as described below.

Under the cooperative agreement mechanism, ADD and the awardee will share the responsibility for planning the objectives of the project. The awardee will have the primary responsibility for developing and implementing the activities of the project. ADD will jointly participate with the awardee in such activities as clarifying the specific issue areas to be addressed through periodic briefings and ongoing consultation, sharing with awardee its knowledge of the issues being addressed by past and current projects, and providing feedback to awardee about the usefulness to the field of written products and information sharing activities. The details of the relationship between ADD and awardee will be set forth in the cooperative agreement to be developed and signed prior to issuance of the award.

- *Project Duration:* This announcement is requesting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a

non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The Federal share is a range of \$300,000–\$400,000 for the first 12-month budget period or a minimum of \$900,000 for a three-year project period. There is a possibility of increased funding in year two and three contingent on additional funds.

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

- *Anticipated Number of Projects to be Funded:* It is anticipated that one (1) project will be funded. Subject to availability of additional resources in FY 1998 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1998 cohort of programs out of the pool of applications submitted for FY 1997 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1997 Priority Area 2: Technical Assistance and Knowledge Transfer on Self-Determination and Responsible Leadership by and for Individuals with Developmental Disabilities and Families of Children with Developmental Disabilities*

- *Eligible Applicants:* State agencies, public or private nonprofit organizations, institutions or agencies, including a consortia of some or all of the above.

- *Purpose:* Under this priority area, ADD will award a grant through a cooperative agreement to establish a national technical assistance and knowledge transfer center on self-determination and 21st Century leadership development. The mission of such a center would be to work with all relevant stakeholders to expand and

sustain responsible leadership by and for people with developmental disabilities and families of children with developmental disabilities in shaping and guiding the implementation of policies, practices and approaches which enhance their own self-determination and self-efficacy.

- *Background Information:* All Americans, including people with developmental and other disabilities, should experience opportunities and a sense of community and responsibility in their lives. One of the central tasks facing us is to devise ways we as individuals, families, communities and a nation can actively promote the responsibility people with disabilities have for their own and our collective lives and futures. Federal legislation such as the Developmental Disabilities Act, the Individuals with Disabilities Education Act and the Americans with Disabilities Act are all grounded in the fundamental principle that persons with disabilities and their families have a critical need to be, and as a matter of right ought to be, primary decision-makers in decisions affecting their lives and futures.

The majority of the progress we have made as a society in this regard in the past quarter century has shown us that responsible leadership for and by people with developmental and other disabilities and their families is a prerequisite to increasing independence, productivity, integration and inclusion of such individuals and their families. ADD and individual DD Councils, Protection and Advocacy Systems and University Affiliated Programs have found that developing, nurturing and sustaining strategic, creative and responsible leadership on the part of individuals with developmental and other disabilities and their families have been among the most high-yielding long-term investments made.

Through Projects of National Significance, ADD has assisted its grantees to develop and replicate a variety of innovative, successful approaches to develop leadership and self-determination among people with developmental disabilities and their families. Most notably, this has taken the form of early and formative support of such endeavors as Partners in Policy, the active participation of families of children with developmental disabilities in designing and implementing of State family support policies and programs, the Home of Your Own initiative, personal assistance system change projects, and targeted

leadership efforts among people of color with developmental disabilities.

Now more than ever, the States, the disability community and others require support and assistance in strategically working through the cumulative effects of such issues as Welfare Reform, SSI changes, managed care and Medicaid restructuring might have on adults and children with developmental disabilities as well as their families. Responsible leadership by people with developmental and other disabilities and their families, is value driven and recognizes the new and emerging realities facing State and local governments today. Such leadership is critical to finding responsible and cost effective ways to strengthen the abilities and opportunities of individuals with developmental disabilities and families of children with developmental disabilities to exercise choice and self-determination throughout their daily lives. This is true in respect to most people with developmental disabilities and families of children with developmental disabilities, but is particularly the case in regard to those living in poverty.

ADD is particularly interested in applications from organizations or coalitions that have a strong self-advocacy/consumer base. Such applicants should demonstrate significant involvement by people with developmental disabilities in the governance, management, and operation of the center; that is, not just as advisors but in management and other key staff positions as well as any subgrantees that may have a critical role in the project.

- *Minimum Requirements for Project Design:* ADD will support a project that seeks to strengthen and expand leadership for the 21st Century by and for people with developmental disabilities and families of children with developmental disabilities through:

- Building, expanding and strengthening what works in this regard.

- Brokering technical assistance, especially peer-to-peer consultations, designed to assist such stakeholders to work together to apply research and best practices to enhance the self-determination and self-efficacy of persons with developmental disabilities and families of children with developmental disabilities (especially in States and communities and tribal governments that have not taken part in similar initiatives relating to Partners in Policy, family support, home ownership, personal assistance, self-determination, etc.)

- Expanding self-determination opportunities and roles for young



people with and without developmental disabilities (ages 12–25) as well as individuals with significant developmental disabilities and families of children with developmental disabilities from economically disadvantaged communities.

- Convening working conferences to develop and share strategies for enhancing self-determination in the context of the changing roles of the State and Federal Governments, governmental reinvention activities, a heightened focus on achieving results and cost effectiveness in such areas as welfare reform, changes in SSI, managed care and proposals for Medicaid restructuring.

- Assisting in and disseminating relevant research findings pertaining to the prospects for enhancing self-determination and supporting the development of national and State policy in the changing Federal and State context described above.

- Functioning as a clearinghouse on all relevant information, emerging knowledge, policy, best practices and research.

- Tracking, synthesizing, disseminating, facilitating the adaptation and/or replication of best or promising approaches, and lessons learned, especially those supported by investments of ADD in DD Councils, Protection and Advocacy Systems, University Affiliated Programs, Projects of National Significance and other Federal or State agencies or foundations.
- Sponsoring forums, on-line conferences and other ongoing exchanges to facilitate a greater understanding of the impacts of welfare reform, managed care, and other critical issues on individuals with developmental disabilities and their families on the part of States, tribal governments, the disability community, foundations, researchers and others.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.

- Key project personnel with direct life, parental, or familial experience with living with a disability.

- Strong advisory components that consist of a majority of individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.

- Research reflecting the principles of participatory action.

- Cultural competency.

- A description of how individuals with disabilities and their families will

be involved in all aspects of the design, implementation, and evaluation of the project.

- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from diverse backgrounds, rural and inner-city areas, migrant, homeless, and refugee families, with severe disabilities.

- Compliance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 as amended (29 U.S.C. 794);

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

- A community-based approach.
- Responsiveness through systems change.

- Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

- Development and establishment of practices and programs beyond project period.

- Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

Applications should also include provisions for the travel of two key personnel during the first and last year of the project to Washington, DC for a one day meeting with ADD staff.

As noted earlier, the award will be made as a cooperative agreement. While an organization receiving an award will not be conducting its project on behalf of ADD, ADD and the awardee will work cooperatively in the development and implementation of the project's agenda as described below.

Under the cooperative agreement mechanism, ADD and the awardee will share the responsibility for planning the objectives of the project. The awardee will have the primary responsibility for developing and implementing the activities of the project. ADD will jointly participate with the awardee in such activities as clarifying the specific issue

areas to be addressed through periodic briefings and ongoing consultation, sharing with awardee its knowledge of the issues being addressed by past and current projects, and providing feedback to awardee about the usefulness to the field of written products and information sharing activities. The details of the relationship between ADD and awardee will be set forth in the cooperative agreement to be developed and signed prior to issuance of the award.

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

- *Federal Share of Project Costs:* The Federal share is a range of \$300,000–\$400,000 for the first 12-month budget period or a minimum of \$900,000 for a three-year project period. There is a possibility of increased funding in year two and three contingent on additional funds.

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

- *Anticipated Number of Projects to be Funded:* It is anticipated that one (1) project will be funded. Subject to availability of additional resources in FY 1998 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1998 cohort of programs out of the pool of applications submitted for FY 1997 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—



Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1997 Priority Area 3: The National Center for the Analysis of Major Trends and Outcomes Data Regarding Individuals with Developmental Disabilities and Their Families*

- **Eligible Applicants:** State agencies, public or private nonprofit organizations, institutions or agencies, including a consortia of some or all of the above.

- **Purpose:** ADD is interested in awarding a grant through a cooperative agreement that would accurately measure, track and report on the extent to which our society is progressing toward the goals of strengthening the capabilities and expanding the opportunities of individuals with developmental disabilities and families of children with developmental disabilities to exercise choice and self-determination throughout their daily lives. This is crucial to assessing both the overall effectiveness of the ADD programs and that of the Nation as a whole in carrying on this endeavor.

- **Background Information:** ADD has supported a number of initiatives particularly through PNS, and ongoing projects designed to strengthen, expand and sustain our collective understanding of the changing status of Americans with developmental disabilities. Most notably was the state consumer surveys conducted in preparation for the 1990 Report. This support has also taken the form of both the formative and ongoing support for such endeavors as:

- ADD's three national data collection and dissemination projects;
- The development of the ADD Management Information System;
- The Data Trends Conference cosponsored with the National Institute on Disability and Rehabilitation Research;
- The AAUAP data collection project; and
- The disability supplement to the National Health Interview Survey.

- **Minimum Requirements for Project Design:** To build on these and other efforts and to further foster the pursuit of excellence through its leadership and that of its programs, ADD proposes to fund a National Center for the Analysis of Major Trends and Outcomes Data Regarding Individuals with Developmental Disabilities and Their Families. The mission of such a center would be to work with all relevant stakeholders around a number of tasks that could include the following:

(1) Build and expand upon current and past efforts undertaken by ADD and others in this area;

(2) Identify, synthesize, and report on major data sources on major trends affecting the lives, well being and futures of all Americans, including those with developmental and other disabilities as well as their families;

(3) Identify, synthesize, and report on major data sources on major trends specific to the lives, well being and futures of individuals with developmental disabilities and their prospects for their increased independence, productivity, integration and inclusion as well as greater choice and self determination throughout their everyday lives;

(4) Develop, continually improve, and work with ADD, its programs and all other relevant Federal, State and private entities to infuse outcome measures and other indicators which accurately reflect the status of persons with developmental disabilities and the families of children with developmental disabilities into major surveys and studies;

(5) Develop in close consultation and collaboration with individuals with developmental disabilities and families of children with developmental disabilities a prototypical survey instrument to assess the extent to which such individuals and families believe they have opportunities to exercise meaningful choice and self determination as well as to carry out personal responsibilities in life, and which: (a) Is compatible with the state consumer survey used in preparation for the 1990 Report, (b) can be reliably and cost effectively administered to a representative national sample, (c) can be easily adapted and used for a variety of related purposes, and (d) accurately assesses the status of individuals with developmental disabilities and families of children with developmental disabilities who are members of racial, cultural or ethnic minority groups;

(6) Develop a prototypical public opinion survey instrument which can be reliably and cost effectively administered to a representative national sample of the general public at least once every five years to assess the extent to which the public (a) perceives individuals with developmental disabilities and families with children with developmental disabilities as having opportunities to exercise choice and self determination as well as to carry out personal responsibilities; and (b) values the exercise of self determination and personal responsibilities both in their own lives and in the lives of persons with

developmental disabilities and their families;

(7) Develop, in close consultation and collaboration with ADD, its programs and all other relevant Federal, State and private entities, cost effective and readily implementable strategies for, and providing technical assistance in, carrying out activities related to the survey instruments described above;

(8) Produce, in close consultation and collaboration with ADD, its programs and all other relevant Federal, State and private entities, a State of Americans with developmental disabilities and their families report which then could be replicated at least once every five years;

(9) Function as a clearinghouse on all relevant information, emerging knowledge, and research concerning the status of individuals with developmental disabilities and the families of children with developmental disabilities in American society; and,

(10) Sponsor forums, on line conferences and other on-going exchanges relative to activities or strategies for continually improving efforts to accurately measure, track and report on the extent to which our society is making progress toward achieving its goals of increasing the self determination, personal responsibility, independence, productivity, integration and inclusion of Americans with developmental disabilities in everyday life.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.
- Key project personnel with direct life, parental, or familial experience with living with a disability.
- Strong advisory components that consist of a majority of individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.
- Research reflecting the principles of participatory action.
- Cultural competency.
- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.
- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from diverse backgrounds, rural and inner-city areas, migrant, homeless, and refugee families, with severe disabilities.

- Compliance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 as amended (29 U.S.C. 794);

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

Details of the relationship between ADD and awardee will be set forth in the cooperative agreement to be developed and signed prior to issuance of the award.

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

- **Federal Share of Project Costs:** The Federal share is a range of \$300,000–\$400,000 for the first 12-month budget period or a minimum of \$900,000 for a three-year project period. There is a possibility of increased funding in year two and three contingent on additional funds.

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

- **Anticipated Number of Projects To Be Funded:** It is anticipated that one (1) project will be funded. Subject to availability of additional resources in FY 1998 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1998 cohort of

programs out of the pool of applications submitted for FY 1997 funds.

- **CFDA:** ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

#### **Part V. 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 along with a checklist for assembling an application package. Please copy and use these forms in submitting an application.

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

##### **A. Required Notification of the State Single Point of Contact**

This program is covered under Executive Order (E.O.) 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.

**Note:** State/Territory participation in the Intergovernmental Review Process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC, if applicable, or to ACF.

As of June 1997, the following jurisdictions have elected not to participate in the Executive Order process. Applicants from these jurisdictions or for projects administered by Federally-recognized Indian Tribes need take no action in regard to E.O. 12372:

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  
Palau

All remaining jurisdictions participate in the Executive Order process and have established Single Point of Contact (SPOCs). Applicants from participating jurisdictions should contact their SPOCs as soon as possible to alert them of the prospective applications and receive 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. The applicant must 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.

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 ADD, they should be addressed to: Department of Health and Human Services, ACF/Administration on Developmental Disabilities, Third Floor, 200 Independence Avenue SW, Washington, DC 20201, Attn: 93.631 ADD—Projects of National Significance.

A list of the Single Points of Contact for each State and Territory is included at the end of this Part.

##### **B. Notification of State Developmental Disabilities Planning Councils**

A copy of the application must also be submitted for review and comment to the State Developmental Disabilities Council in each State in which the applicant's project will be conducted. A list of the State Developmental Disabilities Councils is included at the end of this announcement.

##### **C. Instructions for Preparing the Application and Completing Application Forms**

The SF 424, SF 424A, SF 424A, Page 2 and Certifications have been reprinted for your convenience in preparing the application. You should reproduce single-sided copies of these forms from

the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page.

Please prepare your application in accordance with the following instructions:

**1. SF 424 Page 1, Application Cover Sheet**

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

**Top of Page.** Enter the single priority area number under which the application is being submitted under the Announcement. An application under this Announcement should be submitted under only one priority area.

**Item 1. "Type of Submission"**—Preprinted on the form.

**Item 2. "Date Submitted" and "Applicant Identifier"**—Date application is submitted to ACF 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 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 (give 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"**—Preprinted on the form.

**Item 9. "Name of Federal Agency"**—Preprinted on the form.

**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. For all applications for PNS funding, the following should be entered, "93.631—Developmental Disabilities: Projects of National Significance."

**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 subunits.

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

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

**Items 15. Estimated Funding Levels**

In completing 15a through 15f, the dollar amounts entered should reflect, for a 17-month or less project period, the total amount requested. If the proposed project period exceeds 17 months, enter only those dollar amounts needed for the first 12 months of the proposed project.

**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. For more information regarding funding as well as exceptions to these rules, see Part III, Sections E

and F, and the specific priority area description.

**Item 15f.** Enter the estimated amount of program 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 program 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."**—Enter the date the applicant contacted the SPOC regarding this application. Select the appropriate SPOC from the listing provided at the end of Part IV. The review of the application is at the discretion of the SPOC. The SPOC will verify the date noted on the application.

**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 (1) the total project period of 17 months or less or (2) the first year budget period, if the proposed project period exceeds 15 months.

**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 (1) the total project period of 17 months or less or (2) the first-year budget period if the proposed project period exceeds 17 months. It should relate to item 15g, total funding, on the SF 424. Under column (5), enter the total requirements for funds (Federal and non-Federal) by object class category.

A separate budget justification should be included to explain fully and justify major items, as indicated below. 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. The budget justification should immediately follow the second page of the SF 424A.

**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 costs 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. For State and local governments, non-profit organizations, including Federally recognized Indian Tribes, "equipment" is tangible personal property having a useful life of more than one year and acquisition cost of \$5,000 or more per unit. Grantees may use their own definitions if it does not exceed these limits. (45 CFR 74.2 and 92.3)

**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 subgrantees 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 backup documentation identifying the name of

contractor, purpose of contract, and major cost elements.

**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 Charges—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 (except local governments) 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 HHS 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.

In the case of training grants to other than State or local governments (as defined in title 45, Code of Federal Regulations, part 74), the Federal reimbursement of indirect costs will be limited to the lesser of the negotiated (or actual) indirect cost rate or 8 percent of the amount allowed for direct costs, exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations.

For training grant applications, the entry under line 6j should be the total indirect costs being charged to the project. The Federal share of indirect costs is calculated as shown above. The applicant's share is calculated as follows:

(a) Calculate total project indirect costs (a\*) by applying the applicant's approved indirect cost rate to the total project (Federal and non-Federal) direct costs.

(b) Calculate the Federal share of indirect costs (b\*) at 8 percent of the amount allowed for total project (Federal and non-Federal) direct costs exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations.

(c) Subtract (b\*) from (a\*). The remainder is what the applicant can claim as part of its matching cost contribution.

**Justification:** Enclose a copy of the indirect cost rate agreement. Applicants subject to the limitation on the Federal reimbursement of indirect costs for training grants should specify this.

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

**Program Income—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. Please cite the page numbers where program income is discussed.

**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." Third Party In-kind contributions are defined in title 45 of the Code of Federal Regulations, Parts 74.2 and 92.3, as "the value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program."

**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 17 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) are not applicable in most instances, since ACF funding is almost always limited to a

three-year maximum project period. They should remain blank.

**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 17 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 proposal. 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.

### 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 IV. The narrative should also provide information concerning how the application meets the evaluation criteria, using the following headings:

- (a) *Objectives and Need for Assistance;*
- (b) *Results and Benefits Expected;*
- (c) *Approach; and*
- (d) *Staff Background and Organization's Experience.*

The specific information to be included under each of these headings

is described in Section C of Part III, Evaluation Criteria.

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. All pages of the narrative (including charts, references/footnotes, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with "Objectives and Need for Assistance" as page number one. Applicants should not submit reproductions of larger size paper, reduced to meet the size requirement.

The length of the application, including the application forms and all attachments, should not exceed 60 pages. This will be strictly enforced. 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 60-page limit. 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 to three pages) 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 should be included.

### 6. Part V—Assurances/Certifications

Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs." Applicants must sign and return the Standard Form 424B with their applications.

Applicants must provide a certification regarding lobbying when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their application.

Applicants must disclose lobbying activities on the Standard Form LLL

when applying for an award in excess of \$100,000. Applicants who have used non-Federal funds for lobbying activities in connection with receiving assistance under this announcement shall complete a disclosure form to report lobbying. Applicants must sign and return the disclosure form, if applicable, with their applications.

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, the applicant is providing the certification regarding environmental tobacco smoke and need not mail back the certification with the applications.

Applicants must make the appropriate certification of their compliance with the Drug Free Workplace Act of 1988. By signing and submitting the application, the applicant is providing the certification and need not mail back the certification with the application.

Applicants must make the appropriate certification of their compliance with the Pro-Children Act of 1994. By signing and submitting the application, the applicant is providing the certification and need not mail back the certification with the application.

In addition, applicants are required under Section 162(c)(3) of the Act to provide assurances that the human rights of all individuals with developmental disabilities (especially those individuals without familial protection) who will receive services under projects assisted under Part E will be protected consistent with section 110 of the Act (relating to the rights of individuals with developmental disabilities). Each application must include a statement providing this assurance.

For research projects in which human subjects may be at risk, a Protection of Human Subjects Assurance may be required. If there is a question regarding the applicability of this assurance, contact the Office for Research Risks of the National Institutes of Health at (301) 496-7041.

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

#### **E. 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 4-88);
- \_\_\_ A completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424 if applicable.
- \_\_\_ 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, etc. 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 C);
- \_\_\_ 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.
- \_\_\_ Certification Regarding Environmental Tobacco Smoke; signature on the application represents certification.
- \_\_\_ Certification Regarding Drug-Free Workplace; signature on the application represents certification.
- \_\_\_ Certification Regarding Debarment/Suspension; signature on the application represents certification.

#### **F. 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.

#### **G. Paper Reduction Act**

Under the Paperwork Reduction Act of 1995 (Pub. L. 104-13), the Department is required to submit to OMB for review and approval any reporting and record keeping requirements or program announcements. This program announcement meets all information collection requirements approved for ACF grant applications under OMB Control Number 0970-0139.

(Federal Catalog of Domestic Assistance Number 93.631 Developmental Disabilities—Projects of National Significance)

Dated: July 29, 1997.

**Bob Williams,**

*Commissioner, Administration on Developmental Disabilities.*

#### **Executive Order 12372—State Single Points of Contact**

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Paul Haugen, Director, Governor's Council on  
DD, 711 S. Stewart Street, Carson City,

- Nevada 89710, W (702) 687-4452, TDD 702-687-3388, FAX # (702) 687-3292
- New Hampshire**  
 Alan Robichaud, Director, New Hampshire Developmental Disabilities Council, The Concord Center, Unit 315, 10 Ferry Street, Concord, New Hampshire 03301-5004, (603) 271-3236, TDD/Voice Relay 800-735-2964, FAX # (603) 271-1156, thslay@aol.com, NHDDCNCL@aol.com
- New Jersey**  
 Ethan B. Ellis, Executive Director, NJ Developmental Disabilities Council, 20 West State Street, CN 700, Trenton, New Jersey 08625-0700, (609) 292-3745, FAX # (609) 292-7114
- New Mexico**  
 Chris Isengard, Director, NM Developmental Disabilities Planning Council, 435 St. Michael's Drive, Building D, Santa Fe, New Mexico 87505, (505) 827-7590, FAX # (505) 827-7589
- New York**  
 Sheila M. Carey, Executive Director, New York State Developmental Disabilities Council, 155 Washington Avenue, 2nd Floor, Albany, New York 12210, W (518) 432-8233; (800) 395-3372, TDD 518-432-8245, FAX # 518-432-8238, nashca@nysomr.emi.com
- North Carolina**  
 Holly Riddle, Executive Director, North Carolina Council on Developmental Disabilities, 1508 Western Blvd., Raleigh, North Carolina 27606, (919) 733-6566, FAX # (919) 733-1863, hriddle@ddc.dhr.state.nc.us
- North Dakota**  
 Tom Wallner, Director, North Dakota State Council on Developmental Disabilities, Dept. of Human Services, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0250, W (701) 328-8953, FAX # (701) 328-8969, cdps.sowalt@ranch.state.nd.us
- Ohio**  
 Ken Campbell, Executive Director, Ohio Developmental Disabilities Planning Council, 8 East Long Street, 6th Floor, Columbus, Ohio 43215-0415, W (614) 466-5205, TDD 614-644-5530, FAX # (614) 466-0298, mr\_ddc\_kmc@ohio.gov
- Oklahoma**  
 Ann Trudgeon, Executive Director, Council for Dev. Disabilities, P.O. Box 25352, Oklahoma City, OK 73125, 3033 N. Walnut, Suite 105-E, Oklahoma City, Oklahoma 73105, W (405) 528-4984, FAX # (405) 528-0956, E-mail—OPCDD@aol.com, 1-800-836-4470 (toll-free)
- Oregon**  
 Charlotte Duncan, Executive Director, Oregon Developmental Disabilities Council, 540 24th Place, NE, Salem, Oregon 97301-4517, (503) 945-9942; 1-800-292-4154, FAX # (503) 945-9947, ODDC@aol.com
- Pennsylvania**  
 Graham Mulholland, Executive Director, Developmental Disabilities Council, Room 569 Forum Building, Commonwealth Avenue, Harrisburg, Pennsylvania 17120, W (717) 787-6057, FAX 717-772-0738
- Puerto Rico**  
 Ms. Ethel M. Torres, Acting Executive Director, Developmental Disabilities Council, Apartado 9543, Santurce, Puerto Rico 00908-0543, Pda. 18, Ponce de Leon Ave., Caso Building #1225 Santurce, PR 00908, 809 722-8850 (direct line), W (809) 722-0595, FAX (809) 721-3622
- Rhode Island**  
 Marie V. Citrone, Executive Director, Rhode Island Developmental Disabilities Council, 600 New London Avenue, Cranston, Rhode Island 02920-3028, (401) 464-3191, FAX # (401) 464-3570, ac808@osfn.rhinet.gov
- South Carolina**  
 Charles B. Lang, Executive Director, South Carolina Developmental Disabilities Council, Office of the Governor, 1205 Pendleton Street, Suite 372, Edgar Brown Building, Columbia, South Carolina 29201-3731, (803) 734-0465, FAX # (803) 734-0241
- South Dakota**  
 Charlie A. Anderson, Executive Director South Dakota Council on Developmental Disabilities, Hills View Plaza, East Highway 34, c/o 500 East Capitol, Pierre, South Dakota 57501-5070, (605) 773-6415, TDD 605-773-5990, FAX (605) 773-5483
- Tennessee**  
 Wanda Willis, Ex. Director, Developmental Disabilities Council, Gateway Plaza, 11th Floor, 710 James Robertson Parkway, Nashville, Tennessee 37243-0675, (615) 532-6615, TTY 615-741-4562, FAX # (615) 532-6964, Kwright@mail.state.tn.us
- Texas**  
 Roger A. Webb, Executive Director, Texas Planning Council for Developmental Disabilities, 4900 North Lamar Blvd., Austin, Texas 78751-2399, (512) 424-4080, TDD 512-424-4099, FAX 512-424-4097, E-Mail:TXDDC@rehab.state.tx.us, (800) 262-0334
- Utah**  
 Catherine E. Chambless, Executive Director, Utah Governor's Council for People with Disabilities, 555 East 300 South, Suite 201, Salt Lake City, Utah 84102, (801) 533-4128 (V/TDD), FAX # (801) 533-5305, cchamble@email.state.ut.us, jsimkins@email.state.ut.us
- Vermont**  
 Thomas A. Pombar, Exec. Director, Vermont Developmental Disabilities Council, 103 South Main Street, Waterbury, Vermont 05671-0206, (802) 241-2612, FAX # (802) 241-2979, tomp@wpgate1.ahs.state.vt.us
- Virginia**  
 Mr. Brian S. Parsons, Director, Virginia Board for People with Disabilities, Ninth Street Office Building, 202 North 9th Street, 9th Floor, Richmond, Virginia 23219, (804) 786-0016, FAX # (804) 786-1118, TDD 1-800-846-4464
- Virgin Islands**  
 Mark Vinzant, Director, VI Developmental Disabilities Council, P.O. Box 2671, Kings Hill, St. Croix, Virgin Islands 00851, (809) 778-9681, FAX 809-778-9250
- Washington**  
 Edward M. Holen, Executive Director, Developmental Disabilities Council, P.O. Box 48314, 906 Columbia Street, S.W., Olympia, Washington 98504-8314, (360) 753-3908, TDD 1-800-634-4473, FAX (360) 586-2424, edh@cted.wa.gov, cathyt@cted.wa.gov
- West Virginia**  
 Donna Heuneman, Exective Director, West Virginia Developmental Disabilities Council, 110 Stockton Street, Charleston, West Virginia 25312-2521, (304) 558-0416 (Voice), (304) 558-2376 (TDD), FAX # (304) 558-0941
- Western Carolina Islands (Trust Territories of the Pacific)**  
 Dr. Minoru Ueki, MD, Trust Terr. Hlth. Cncl., MacDonald Mem. Hosp. KOROR, Palau, WCI 96940
- Wisconsin**  
 Jayn Wittenmyer, Executive Director, Council on Developmental Disabilities, (722 Williamson Street, 2nd Floor), Office Box 7851, Madison, Wisconsin 53707-7851, (608) 266-7826, FAX (608) 267-3906, CTC@mailbag.com
- Wyoming**  
 Lynn Achter, Executive Director, Council on Developmental Disabilities, 122 West 25th Street, Hersch Bldg., 1st Floor, West, Cheyenne, Wyoming 82002, (307) 777-7230, 1-800-438-5791 (in-state-only), FAX # (307) 777-5690

APPLICATION FOR  
FEDERAL ASSISTANCE

## Appendix A

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> Application      Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	<b>Applicant Identifier</b>
		<b>3. DATE RECEIVED BY STATE</b>	<b>State Application Identifier</b>
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	<b>Federal Identifier</b>
<b>5. APPLICANT INFORMATION</b>			
<b>Legal Name:</b>		<b>Organizational Unit:</b>	
<b>Address (give city, county, state, and zip code):</b>		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="display: flex; gap: 10px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">           A. State            B. County            C. Municipal            D. Township            E. Interstate            F. Intermunicipal            G. Special District         </div> <div style="width: 45%;">           H. Independent School Dist.            I. State Controlled Institution of Higher Learning            J. Private University            K. Indian Tribe            L. Individual            M. Profit Organization            N. Other (Specify) _____         </div> </div>	
<b>8. TYPE OF APPLICATION:</b>  <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/>  A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____			
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  <div style="display: flex; align-items: center; gap: 10px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b>			
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
<b>Start Date</b>	<b>Ending Date</b>	<b>a. Applicant</b> <b>b. Project</b>	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>  <b>a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:</b>  DATE _____  <b>b. NO.</b> <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$ .00		
b. Applicant	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>  <input type="checkbox"/> Yes      If "Yes," attach an explanation. <input type="checkbox"/> No	
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
<b>a. Typed Name of Authorized Representative</b>		<b>b. Title</b>	<b>c. Telephone Number</b>
<b>d. Signature of Authorized Representative</b>		<b>e. Date Signed</b>	

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

**Instructions for the SF 424**

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

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

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State, if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present

Federal identifier number. If for a new project, leave blank.

5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.

6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities.)

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

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

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

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

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

**BILLING CODE 4184-01-P**

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

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

  

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

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Prescribed by OMB Circular A-102

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

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

**Instructions for the SF 424A**

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

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

**Section C. Non-Federal Resources**

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

Column (a)—Enter the program titles identical to

Column (a), Section A. A breakdown by function or activity is not necessary.

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

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

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

Column (e)—Enter totals in Columns (b), (c), and (d).

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

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

**Section F. Other Budget Information**

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

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

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

**Assurances—Non-Construction Programs**

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



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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as

amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

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

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

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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

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

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Signature of Authorized Certifying Official

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Applicant Organization

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Title

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Date submitted

## Appendix B

### *Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions* Instructions for Certification

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

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

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this

transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

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

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

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

10. Except for transactions authorized under paragraph 6 of these instructions, if a

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

\* \* \* \* \*

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

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by 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.

#### **Appendix C**

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

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

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

\* \* \* \* \*

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

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

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

**Appendix D**

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]

**Appendix E**

*Certification Regarding Lobbying*

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

Report Lobbying," in accordance with its instructions.

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

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

**Statement for Loan Guarantees and Loan Insurance**

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

If any funds have been paid or will be paid to any person for influencing or attempting

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

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Signature

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Title

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Organization

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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.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change  For material change only Year _____ Quarter _____  date of last report _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known.  Congressional District, if known			<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known		
<b>6. Federal Department/Agency:</b>			<b>7. Federal Program Name/Description:</b> CFDA Number, if applicable:		
<b>8. Federal Action Number, if known:</b>			<b>9. Award Amount, if known:</b> \$		
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):			<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):		
Items 11 through 15 are deleted.					
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
Federal Use Only:			Authorized for Local Reproduction Standard Form - LLL		

**Appendix F***Certification Regarding Environmental Tobacco Smoke*

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services

are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an

administrative compliance order on the responsible entity.

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

[FR Doc. 97-20519 Filed 8-5-97; 8:45 am]

BILLING CODE 4184-01-P