

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. 93631-98-03]

#### Developmental Disabilities: Final Notice of Availability of Financial Assistance and Request for Applications to Support Demonstration Projects Under the Projects of National Significance Program

**AGENCY:** Administration on Developmental Disabilities (ADD), ACF, DHHS.

**ACTION:** Invitation to apply for financial assistance.

**SUMMARY:** The Administration on Developmental Disabilities, Administration for Children and Families, announces that applications are being accepted for funding of Fiscal Year 1999 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 1999 funding of projects. Part V describes in detail how to prepare and 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 August 23, 1999. 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, 370 L'Enfant Promenade SW, Mail Stop 326F-HHH, Washington, DC 20447, Attention: Lois Hodge.

Applicants must ensure that a legibly dated U.S. Postal Service postmark or a legibly dated, machine produced postmark of a commercial mail service is affixed to the envelope/package containing the application(s). To be acceptable as proof of timely mailing, a postmark from a commercial mail service must include the logo/emblem

of the commercial mail service company and must reflect the date the package was received by the commercial mail service company from the applicant. Private Metered postmarks shall not be acceptable as proof of timely mailing.

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 a.m. and 4:30 p.m., EST, at the U.S. Department of Health and Human Services, ACF/Administration on Developmental Disabilities, ACF Mail Center, 2nd Floor (near loading dock), Aerospace Center, 901 D Street, SW, Washington, DC 20024, between Monday and Friday (excluding Federal holidays). This address must appear on the envelope/package containing the application with the note "Attention: Lois Hodge". 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 that 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.

**ADDRESSES:** Application materials are available from Pat Laird, 370 L'Enfant Promenade, S.W., Rm. 300F, Washington, DC 20447, 202/690-7447; <http://www.acf.dhhs.gov/programs/add>; or [add@acf.dhhs.gov](mailto:add@acf.dhhs.gov).

**FOR FURTHER INFORMATION CONTACT:** Administration for Children and Families (ACF), Pat Laird, 370 L'Enfant Promenade, SW, Rm. 300F, Washington, D.C., 20447, 202/690-7447; or [add@acf.dhhs.gov](mailto:add@acf.dhhs.gov).

**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 and which priority area, 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, 370 L'Enfant Promenade SW, Rm. 300F, Washington, DC, 20447, 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 that 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 1999 Proposed Priority Areas*

ADD received 46 letters 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 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. Other comments relate specifically to the program goals and priorities of the particular agencies that responded to the announcement.

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

*Comment:* Six letters were submitted to ADD recommending additional or other funding priorities for FY 1999. Suggestions included projects

addressing: business opportunities; fetal alcohol syndrome (FAS); welfare reform; postsecondary education; dissemination of information on past PNS projects; and siblings.

*Response:* Increasing access to employment and postsecondary education are closely intertwined if individuals with developmental disabilities are to be successfully included in their communities. ADD continues to have an interest in these areas and is supportive in various ways. Through a recent Small Business and Innovation Research project (SBIR), a feasibility study was conducted to determine the barriers and enhancers to self-operated home businesses for individuals with developmental disabilities or families with a member having a developmental disability and were receiving welfare assistance. The Commissioner, staff, and some ADD programs are actively involved in the President's Task Force on Employment of Adults with Disabilities, which includes postsecondary education and transitional issues. Additionally, several of ADD's University-Affiliated Programs (UAPs) have undertaken projects concerning employment and specifically postsecondary education. For instance, the System Change Network, at the Iowa UAP, is a public policy effort for the passage of laws expanding eligibility for a state program supporting entrepreneurs with disabilities. Another is the Georgia UAP working with the Georgia Association of Disabilities Service Providers in Higher Education which is conducting research on ADA awareness and information on selecting a postsecondary institution; while the Mississippi UAP has initiated Project Advance: Postsecondary Educational Opportunities for People with Disabilities having a focus on African Americans and Native Americans.

Regarding Fetal Alcohol Syndrome, ADD funded a joint project with the Administration on Native Americans in the early 1990s. Many of our UAPs are involved in this area; their activities range from research, outreach, clinics, training, conference and teleconferencing support to assessments. Under new systems change grants for family support services funded by ADD families having children with FAS have a vital role to play in the development or enhancement of their state's system.

The National Technical Assistance Center on Welfare Reform and Disability at the University of Kansas is a currently funded project under PNS. It is serving states, communities and stakeholders to implement effective welfare reform; it

tracks trends and practices; reports through research summaries, and details best practices, promising approaches and lessons learned. Its website is [www.welfare-policy.org](http://www.welfare-policy.org). Another ADD project at Wayne State University is studying the effects of welfare reform and children's health insurance on families whose children have disabilities. Also, there are numerous projects being funded through the Office of the Assistant Secretary on Planning and Evaluation/HHS that have as their focus the effect of welfare reform on people and families with disabilities.

ADD understands the importance of knowledge sharing and promotes this effort in different ways. In all of our grant announcements it is stated that ADD will expect to fund only those applications that incorporate certain elements; one of those being the development of capacity to communicate and disseminate information and technical assistance through electronic and other effective, affordable, and accessible formats. Within our website is a listing of current PNS projects with contact information; other ADD programs can be contacted by using the lists contained there. ADD's National Information Center on Developmental Disabilities will list products and materials available from our programs and grantees.

ADD recognizes the important role siblings can have in a family when another sibling has a disability, especially a cognitive disability. Often times we lose sight of the stresses, emotions, and needs of these siblings when parents are distracted by the various systems meant to serve their child. We are aware that many siblings take on the role of the parents when parents are no longer able to do so, or when they have passed away. For these reasons, ADD thinks this issue should be encompassed within state family support service systems. The development and growth of family support services is a significant effort in this country and within ADD. The issues expressed in the letters to ADD will sharpen our focus as we begin our effort to implement new family support systems change projects. The energy and feelings conveyed in these letters are valuable contributions that should be made as these projects and other actions are undertaken by the States to further family support services.

*Comment:* 10 comments were received on Proposed Priority Area 1, Ongoing Data Collection and Information Dissemination. One letter of comment included 91 letters of endorsement of the Project on Data on Public Expenditures and Related

Statistics. There were comments addressing the scope, content quality, and dissemination of data collection efforts. Other comments suggested specific studies on employment, the prevention of institutionalization, and the impact of various components of the service delivery system on people with developmental disabilities. Some comments suggested that data be collected at other than the state level.

There were two comments regarding inclusive education, one of which endorsed such a study. The other letter commented that such a study would further marginalize "inclusive education" as a part of special education.

*Response:* ADD remains committed to collecting data on public expenditures, employment and economic status, and residential services as they impact on the independence, productivity, integration, and inclusion of people with developmental disabilities. Proposed data collection systems will be evaluated for their scope, content, quality and potential uses. Many issues concerned with employment, the effectiveness of the service system, and inclusion will be addressed in the data collection projects.

Although ADD does acknowledge that collecting data on an individual basis and not from state records would be profitable, data collection through any mechanism other than state agency records would not be feasible in these projects.

*Comment/Response:* ADD received 8 comments on Proposed Priority Area 2, Breaking Through the Glass Ceiling to Attain First Class Citizenship. ADD is committed to strengthening the leadership and self-determination of individuals with developmental disabilities and family members. We take seriously the continued growth of the self-advocacy movement and have reflected this by incorporating some of the comments in this priority area. We encourage partnerships between a self-advocacy organization and another organization in submitting an application. The comments provided some useful ideas that assisted in clarifying some points and adding to others. Although we understand the concerns of one of the commenters regarding travel stipends, ADD would not be able to implement this initiative without the support of Developmental Disability Councils and University Affiliated Programs, (UAP) who did comment favorably in this matter. ADD doesn't think we need to formalize a national network of leaders; we believe this will occur as a natural outgrowth of this project, and that it is not properly

controlled by a federal agency. We expect that the knowledge and skills gained through participation in the academy will provide the interconnection between Federal and state systems thus strengthening leadership abilities at the state level. Contributions at both levels will be enhanced. The idea of sponsoring fellowships for academy graduates, as suggested by another commenter, has merit and would be a logical step; however, that step could be at least one year behind the academy. Possibly the project could offer guidance for those individuals who want to pursue this type of experience. ADD and the developmental disabilities community must continue to strive for the cultural diversity of our leadership. It is expected that the academy will reflect this. ADD began a PNS leadership initiative in this area in 1994 by funding four projects at the UAPs of Puerto Rico, Wisconsin and Georgia, and People First of Tennessee. This was a first step in developing new leadership from culturally diverse communities.

*Comment:* ADD received 8 comments in response to the Proposed Priority Area 3, Reinventing Quality: Ensuring and Enhancing That Community Living Settings and Services Are Responsive to People With Developmental Disabilities. All expressed support for sponsoring more work on the development of consumer outcome quality assurance systems. The most detailed of the comments expressed concern, however, that the proposed priority took too narrow a focus by calling for individual demonstration projects using volunteers to assess the quality of programs and services. These letters stated that there are many programs around the country delivering consumer outcome-oriented services as well as various efforts to establish new programs and conduct consumer outcome quality assurance. Given the existence of these efforts, the comment letters noted that there is a need to learn more about the existing programs and to broadly disseminate the findings. Comment letters suggested that the emphasis of this area be broadened to a national level and designed more as an information dissemination or technical assistance effort rather than individual demonstration projects.

*Response:* In response to these comments, ADD has changed this Proposed Priority Area to a best practices information dissemination project which will be conducted as a cooperative agreement with ADD. There are already various efforts within the U.S. Department of Health and Human Services to promote quality community-

based long-term care services such as developing a Primer to the Medicaid program which will clarify long-term care options in Medicaid that promote consumer responsive community-based long-term care and establishing a National Consortium on Home and Community-Based Long-Term Care. This ADD project will complement these efforts with a specific focus on services for people with developmental disabilities. More specific information is given in the revised Priority Area 3.

### **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 that 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.

This year, 5 points will be awarded in scoring for any project that includes partnership and collaboration with the 112 Empowerment Zones/Enterprise Communities.

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 Process**

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 listed below, 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.

#### *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 that 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.

- **Evaluation Criteria:** This section presents the basic set of issues that must be addressed in the application. Typically, they relate to need for assistance, results expected, project design, and organizational and staff capabilities. Inclusion and discussion of these items is important since the information provided will be used by the reviewers in evaluating the application against the evaluation criteria. Applicants should review the section on the Uniform Project Description and the evaluation section under each priority area.

- **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 1999, 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 match \$1 for every \$3 requested in Federal funding to reach 25% 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 (total project cost is \$133,333, of which \$33,333 is 25%).

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 P. 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 benefiting 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. General Instructions for the Uniform Project Description*

The following ACF Uniform Project Description (UPD) has been approved under OMB Control Number 0970-0139.

1. **Introduction:** Applicants required to submit a full project description shall prepare the project description statement in accordance with the following instructions.

2. **Project summary/abstract:** Provide a summary of the project description (a page or less) with reference to the funding request.

3. **Objectives and need for assistance:** Clearly identify the physical, economic,

social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the project description, the applicant may volunteer or be requested to provide information on the total range of projects currently being conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

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

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

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

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

6. Organization Profile: Provide information on the applicant

organization(s) and cooperating partners such as organizational charts, financial statements, audit reports or statements from CPAs/Licensed Public Accountants, Employer Identification Numbers, names of bond carriers, contact persons and telephone numbers, child care licenses and other documentation of professional accreditation, information on compliance with Federal/State/local government standards, documentation of experience in the program area, and other pertinent information. Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code, or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

#### *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 1999 Priority Areas for Projects of National Significance—Description and Requirements**

The following section presents the final priority areas for Fiscal Year 1998 Projects of National Significance (PNS) and solicits the appropriate applications.

#### *Fiscal Year 1999 Priority Area 1: Ongoing Data Collection and Information Dissemination*

*Eligible Applicants:* State agencies, public or private nonprofit organizations, institutions or agencies.

*Purpose:* Under this priority area, ADD will award grant funds through a cooperative agreement which will collect data on public expenditures, residential services, employment and economic status, and other factors as they impact on the independence, productivity and integration into the

community of persons with developmental disabilities. ADD is particularly interested in the maximum use of existing data bases and in fostering the broadest dissemination to, and use of, the data by consumers, families and advocacy audiences.

*Background Information:* In the 1990s the United States modified how it provided certain financial assistance to citizens with and without disabilities. In addition, changes were made in how the nation provided enhanced employment opportunities. These changes included new legislation such as the Personal Responsibility and Work Opportunity Reconciliation Act, the Work Incentives Improvement Act, and the Workforce Investment Act. Another national trend of the past decade has been the devolution of responsibility and authority for a variety of social programs to state governments.

ADD is interested in the effect of these recent national initiatives on people with developmental disabilities, both in terms of whether they have been included in programs and whether participation in these programs generate measurable outcomes for people with developmental disabilities.

Examples of successful projects that ADD has funded include:

University of Minnesota: National Recurring Data Set Project on Residential Services—Ongoing National and State-by-State Data Collection and Policy/Impact Analysis on Residential Services for Persons with Developmental Disabilities (Charles Lakin: 612/624-2097)

University of Illinois at Chicago: Fourth National Study of Public Mental Retardation/Developmental Disabilities Spending (David Braddock: 312/413-1647)

Boston Children's Hospital: Ongoing National Collection on Data and Employment Services for Citizens with Developmental Disabilities (Bill Kiernan: 617/735-6506)

Examples of projects include activities that would:

- Identify, collect and disseminate new data bases.
- Modify, expand and/or reformulate existing data bases.
- Connect, integrate or analyze available data bases.
- Project and model the cost-benefit impact of alternative future decisions based on the analysis of discrete programmatic options in the areas of residential services and employment.

*Minimum Requirements for Project Design:* Given its interest in promoting the increased independence, productivity, and community integration of people with

developmental disabilities in a cost-beneficial manner, ADD emphasizes its desire to support projects that provide quantitative and qualitative analysis in the following areas:

- Trends in the movement of people with developmental disabilities from institutional to community settings (especially domiciles of their own) and the outcomes experienced by individuals with disabilities who receive publicly funded residential services.
- The impact of managed care plans on the delivery and efficacy of residential and support services to individuals with developmental disabilities, and on the relationship between Federal and State governments.
- The efficacy of various approaches to the full inclusion of people with developmental disabilities in local community activities where the majority of participants do not have a disability.
- The employment status of people with developmental disabilities on a state and national basis.
- Employment models that accurately predict employment outcomes of persons with developmental disabilities, and the systemic factors that lead to integrated employment.
- The inclusion of people with developmental disabilities in nationwide legislatively-mandated efforts to alleviate welfare and unemployment.
- The use of generic community resources versus the existing special delivery system by people with developmental disabilities and their families.

Any sampling techniques used as part of this analysis should be broadly representative of persons with developmental disabilities of working age on a national basis, including people with severe disabilities. Quantitative data should provide statistical information on current placement patterns and their cost as well as projections regarding future placement options and associated costs. It is also recognized that certain areas may be more appropriate for qualitative analysis, although a summary of any quantitative data (if available) should be included in the proposal.

All projects funded under this priority area must provide evidence of the soundness of their proposed research methods and analytic techniques. In addition, proposals should clearly delineate (via a comprehensive literature review) data sets that are already in existence, how these data sets will be incorporated into the research design, and what new knowledge will be gained through the proposed project.

All projects shall provide for the widespread distribution of their products (reports, summary documents, audio-visual materials, and the like) in accessible formats to a national audience consisting of, at a minimum, people with developmental disabilities and their families, advocacy groups, State Developmental Disabilities Councils, Protection and Advocacy Systems, University Affiliated Programs, State Mental Retardation/Developmental Disabilities Directors, State Governor's Offices, Federal agencies represented on the Interagency Committee on Developmental Disabilities, as well as the Secretaries of Health and Human Services and Education at the federal level.

The application should also respond to the following:

- Describe the physical setting, the administrative and organizational structure within which the program will function, and internal and external organizational relationships relevant to this project. Charts outlining these relationships, and any formal agreements defining them, should be included in the appendices.
- Describe staff, space, equipment, research facilities, and other supports available to carry out the program.
- Describe briefly how the additional resources sought to accomplish the purposes of this effort will be integrated into and augmented by other resources available or accessible by the applicant.
- Develop and implement an evaluation process to ensure that systematic, objective information is available about the utilization and effectiveness of the products of this project. Specific outcomes must be built into the project for evaluation. The evaluation should be performed by an independent evaluator.

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.

In addition to the three national data projects, ADD is interested in a separate analysis of state-level supports and services for people who have disabilities and, within this population, people who have developmental disabilities. For this reason the recipient of the grant award to collect data on public expenditures will be provided additional funding to conduct a study focusing on state funding of human services programs for people with disabilities as compared to funding of programs for people with developmental disabilities. The analysis could be a nation-wide comparison of states or involve a selection of states.

The study would not involve income maintenance programs but would include state expenditures for supports and services relating to housing, medical care, employment or vocational training, transportation, education including efforts to enhance inclusive education, and personal assistants and other supports for independent living. ADD anticipates that the activity will be a duration of 12 months.

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

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

**Evaluation Criteria:** The four criteria that follow will be used to review and evaluate each application under this announcement. Each of these criteria should be addressed in the project description section of the application. The point values indicate the maximum numerical weight each criterion will be accorded in the review process. The specific information to be included under each of these headings is described in Section G of Part III,



General Instructions for the Uniform Project Description. Additional information that must be addressed is described below.

**Criterion 1: Objectives and Need for Assistance (20 Points)**

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.

**Criterion 2: Results or Benefits Expected (20 Points)**

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 is reasonable in view of the expected results.

**Criterion 3: Approach (35 Points)**

Discuss the criteria to be used to evaluate the results, and explain the 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.

**Criterion 4: Organization Profile (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.

This section 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. 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.

**Project Duration:** This announcement is soliciting 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 maximum Federal share is not to exceed \$200,000 for the first 12-month budget period or a maximum of \$1,000,000 for a 5-year project period. The maximum Federal share for the additional study of state-level supports and services is not to exceed \$100,000 for a 12-month budget period.

**Matching Requirement:** Grantees must match \$1 for every \$3 requested in Federal funding to reach 25% 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. Cash or in-kind contributions may meet the non-Federal share, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$200,000 in Federal funds (based on an award of \$200,000 per budget period) must include a match of at least \$66,666 (the total project cost is \$266,666, of which \$66,666 is 25%).

**Anticipated Number of Projects to be Funded:** It is anticipated that at least three data collection projects will be funded.

**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 1999 Priority Area 2: Breaking Through the Glass Ceiling to Attain First Class Citizenship**

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

**Purpose:** To provide experiential learning opportunities at the national level for experienced state leaders who are adults with developmental disabilities and family members of children with developmental disabilities gain the necessary knowledge and skills to shape and guide the implementation of Federal and state

policies, practices and approaches which enhance their own self determination. Specifically, this project would seek to strengthen and expand national leadership for the 21st Century by and for people with developmental disabilities and families of children with disabilities. To address this set of challenges and opportunities, ADD proposes to fund a national policy training academy by issuing an award through the instrument of a cooperative agreement.

**Background Information:** The May 1998 publication of the "Disability Statistics Abstract" reports that the 1994 Harris poll of Americans with Disabilities indicated that 63 per cent of respondents said their quality of life had improved during the previous four years. However, trend data show only slow improvements in the lives of people with disabilities as measured by such things as more opportunities for employment and improved economic status, greater freedom of movement and ease of access, and increased levels of social integration.

In the release of its 1998 progress report on the status of disability policy, the National Council on Disability stated that "The country continues to move forward, however the rate of progress is slower and less steady than many in the disability community had hoped when the Americans with Disabilities Act (ADA) was enacted in 1990. Federal policy remains rife with inconsistent messages and unrealistic requirements for people with disabilities who rely on federal programs like Social Security disability benefits, vocational rehabilitation, Medicaid, Medicare, special education, and Temporary Assistance for Needy Families (TANF). In addition, the backlash against civil rights for children and adults with disabilities continues to motivate attempts to weaken laws such as the Individuals with Disabilities Education Act (IDEA) and ADA."

Through Projects of National Significance, in particular, ADD has assisted its grantees in developing and replicating a variety of innovative and successful approaches to increased leadership development and self-determination among people with significant disabilities and their families. Most notably, this has taken the form of early and formative support of such endeavors as Partners in Policymaking, the active participation of families of children with disabilities in the design and implementation 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 who have developmental disabilities.

ADD's programs are State-based, and so are systems that serve Americans with developmental disabilities. In fact, data measuring the delivery of services and supports to people with developmental disabilities and their families show little comparability from State to State. To respond to State flexibility, devolution, and States' ongoing needs for input from stakeholders, DD network programs in most States provide some form of training or leadership development to people with developmental disabilities and their families. Many people have been trained to interact effectively on their own behalf with State systems designed to serve them, and with State policymakers.

However, some issues, problems, programs and systems are inherently national (such as civil rights) or are national in scope (such as the design of federal systems including entitlements). ADD believes that devolution will increase, not decrease the demand for national stakeholders.

*Minimum Requirements for Project Design:* ADD expects this project will be an equal partnership between people with developmental disabilities and family members and advocates.

To be considered seriously for funding applicants must address the following elements:

- Building a leadership network of adults with developmental disabilities and family members.
- Developing systemic strategies for identifying, involving, supporting, and advancing grassroots leaders who live with developmental disabilities, especially self-advocates and family members of children with developmental disabilities.
- Disseminating best practices, curricula, guides, and informational materials on self-determination and leadership development especially those that have been adapted for individuals with cognitive disabilities.
- Providing experiential learning opportunities that will enable individuals to acquire and deepen their knowledge and skills in the areas of: (1) The operations of the legislative and executive branches; (2) the programs and processes of significant federal agencies; (3) the art of effective communication; (4) the analysis of current or new proposals, policies, guidelines, approaches, or regulations; (5) effective strategies to monitor and evaluate current and proposed oversight and enforcement activities of Federal and state agencies; (6) negotiation techniques; (7) the capacity of computer

technology as a communication tool; (8) the resources of national advocacy organizations; (9) grant writing and reviewing; (10) using and influencing research and data collection, and making data-based arguments; and (11) the development of non-profit organizations.

- A selection process for participants using the following criteria: (a) Representation of various developmental disabilities, particularly cognitive disabilities; (b) distinguished graduates of State-based training programs including Leadership Today and Partners-type projects, that are experienced, thoughtful, and responsible advocates as a result of these State-based training programs; (c) a range of age; (d) racial and ethnic diversity.

It is highly recommended to ensure the appropriateness and understanding of materials and various teaching styles that self-advocates are involved in the design of the training. In regard to sponsorships by Developmental Disability Councils and UAPs, ADD contemplates that up to two individuals from a state might be given a stipend to cover expenses related to attending the Academy. It is estimated that \$10,000 per state, depending on the number of individuals sponsored (not on the state's proximity to Washington, D.C.), would be an appropriate amount. In selecting these individuals, ADD would expect the above criteria to be used and that half of the participants should be self-advocates.

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

- Consumer/self-advocate orientation and participation.
- Key project personnel with direct life experience with living with a disability.
- Strong advisory components that consist of a majority of individuals with developmental or severe 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 multicultural 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 electronic and other effective, affordable, and accessible formats of communication.

- 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. 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.

*Evaluation Criteria:* The four criteria that follow will be used to review and evaluate each application under this announcement. Each of these criterion should be addressed in the project description section of the application. The point values indicate the maximum

numerical weight each criterion will be accorded in the review process. The specific information to be included under each of these headings is described in Section G of Part III, General Instructions for the Uniform Project Description. Additional information that must be addressed is described below.

**Criterion 1: Objectives and Need for Assistance (20 Points)**

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.

**Criterion 2: Results or Benefits Expected (20 Points)**

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 is reasonable in view of the expected results.

**Criterion 3: Approach (35 Points)**

Discuss the criteria to be used to evaluate the results, and explain the 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.

**Criterion 4: Organization Profile (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.

This section 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. 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.

**Project Duration:** This announcement is soliciting 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 \$200,000—\$250,000 for the first 12-month budget period or a minimum of \$600,000 for a three-year project period.

**Matching Requirement:** Grantees must match \$1 for every \$3 requested in Federal funding to reach 25% 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 \$200,000 in Federal funds (based on an award of \$200,000 per budget period) must include a match of at least \$66,666 (the total project cost is \$266,666, of which your \$66,666 share is 25%).

**Anticipated Number of Projects to be Funded:** It is anticipated that up to one (1) project will be funded under this priority area.

**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 1999 Priority Area 3: Reinventing Quality: Best Practices Information Dissemination Project for Ensuring That Community Living Settings and Services Are Responsive to the Needs and Goals of People 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 issue an 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 an information dissemination project on best planning practices in consumer responsive services and quality assurance processes in programs for people with developmental disabilities. ADD is interested in helping states and others respond to the challenges of establishing and assuring the quality of consumer-outcome oriented community-based long-term support programs. Especially in light of the recent Supreme Court "Olmstead" decision which reaffirms the ADA provision that public entities must administer programs in the most integrated setting appropriate to the needs of qualified individuals with disabilities and to make reasonable modifications to avoid discrimination on the basis of disability, ADD is interested in supporting work that will help public entities and others establish comprehensive plans for the appropriate provision of services to people with developmental disabilities. This project will provide information and broker technical assistance on existing successful approaches to assuring the quality and appropriateness of long-term supports for people with developmental disabilities.

**Background Information:** In 1993, the Federal government presented its response to improving how it does business—The National Performance Review, the Federal government's "reinvention" project. When the Review asked Americans what they expect from government services this is what they heard:

- "Ask us what we want."
- "Don't tell us, 'That's not my department.'"
- "Treat us with courtesy, respect, and enthusiasm."
- "Make it easy."
- "Provide reliable, timely help."

Americans with disabilities and their families share these expectations of government services. According to the American Association on Mental Retardation (AAMR) publication, "Shaping Our Destiny—A Provider's Guide to Quality Community Services," people with developmental disabilities and their families "should have an equal right to quality services and supports—including clear, relevant service standards, and reliable, timely help."

Assuring the quality of services for people with developmental disabilities means not only ensuring that abuse and neglect are prevented, but also that persons' life goals and potentials are

identified and addressed. As the provider's guide states, "Merely delivering services in the community doesn't make them quality services. Community services are quality services when they are flexible, reliable, and complete enough to meet an individual's needs." The guide explains that the old system of service delivery is not based on individually-designed services; that new service standards must be developed that ensure that everybody understands how community services and supports are supposed to work and that the new standards focus on results or outcomes that are meaningful to the people who use the supports. Contained in the guide are examples of quality projects and ways for service providers to interact with stakeholders.

The "quality revolution" described in the AAMR publication reflects a trend in the States toward systems that assure outcome-focused quality assurance systems in residential services for individuals with developmental disabilities. The status of the States activities toward implementing an outcome-based approach was the subject of a 1996 report "Compendium of State Outcome-Focused Quality Assurance Systems" in ICF/MR settings by the Human Services Research Institute (HSRI). HSRI found that there was a general sense in the States "that traditional quality assurance, in particular comprehensive licensure and certification surveys, focuses too heavily on environment and process and not enough on outcomes for the individual (consumer) or on 'quality of life' issues. Across the States there appears to be a relationship between the evolution of the State's mental retardation/developmental disabilities service system and the degree of quality assurance reform toward an outcome-focused system."

It is obvious that "monitoring" in the traditional sense of the word is no longer an acceptable method for determining the quality of services and supports to people with developmental disabilities and their families. "Reinventing Quality: The 1998 Sourcebook of Innovative Programs for the Quality Assurance and Quality Improvement of Community Services," produced by the Institute on Community Integration/University of Minnesota, reaffirms this trend in the States as reported by HSRI and reasserts the need to change the service standards to reflect the evolution to community-based services focused on individual needs and individual outcomes. The Sourcebook notes that "Recent years have seen a shift in long-term care for

persons with developmental disabilities from large institutions to community settings. But people receiving community services can fully realize the potential for improved quality of life afforded by this movement only if quality assurance expectations and activities are changed significantly from those originally developed for institutional care." Many innovative and comprehensive quality assessment and enhancement practices are profiled in the Sourcebook. It is these efforts to improve the quality of community services that "may help others to fashion their own responses that not only protect the basic safety and well-being of individuals, but also encourage and support their preferred choices, personal growth, and individual lifestyles."

On June 22, 1999, in its decision on the "Olmstead" case, the Supreme Court reaffirmed the Americans with Disabilities Act provision that public entities must administer programs in the most integrated setting appropriate to the needs of qualified individuals with disabilities and to make reasonable modifications to avoid discrimination on the basis of disability. While public entities are not required to fundamentally alter the nature of their programs, efforts must be made to provide services in the most integrated setting. The Court concluded that under Title II of ADA, States are required to place persons with mental disabilities in community settings rather than in institutions when the State's treatment professionals have determined that community placement is appropriate, that transfer from institutional care to a less restrictive setting is not opposed by the affected individual, and the placement can be reasonably accommodated, taking into account the resources available to the State and the needs of others with mental disabilities.

Under the Clinton Administration, the U.S. Department of Health and Human Services (HHS) is already engaged in a variety of activities designed to promote the delivery of services in the most integrated setting. HHS activities include building on existing Medicaid flexibility in home health services, home and community-based waivers, the personal care option, and the mental health block grant. HHS is developing a Primer to the Medicaid program which will clarify long-term care options in Medicaid that promote consumer responsive community-based long-term care and establishing a National Consortium on Home and Community-Based Long-Term Care.

As part of the Department's overall efforts to promote quality home and

community-based long-term care systems, ADD is interested in establishing a best practices information dissemination project. The project will help States and other entities to respond to the challenges of developing and assuring quality consumer-oriented service systems for people with developmental disabilities. The best practices information gathered and disseminated by the project can be used by services providers in such activities as:

- Developing comprehensive State plans for serving people with developmental disabilities in the most appropriate setting,
- Managing waiting lists for services by conducting assessments so that the most appropriate consumer-responsive services can be delivered,
- Changing existing programs to be more responsive to specific consumer needs and goals, Developing new consumer outcome-oriented programs, and
- Developing quality assurance systems that measure and assess specific consumer outcomes.

*Minimum Requirements for Project Design:* Significant research, best practices, and "lessons learned" exist in regard to planning and developing consumer outcome-oriented, community-based programs for people with developmental disabilities with new standards of consumer-oriented quality assurance. States, communities, direct service providers, disability constituencies and others can benefit from information dissemination about existing and evolving best practices based on consumer-specific outcomes. Information dissemination about best planning practices should seek to better equip major stakeholders with the skills, knowledge and expertise necessary to apply what is already known in the process of developing a comprehensive state plan.

The mission of the project would be to serve as a resource to States, the disability community, service providers, and others to enhance the development of new comprehensive state plans to develop consumer-oriented community-based programs as well as to develop appropriately linked quality assurance systems for new and existing programs. Specifically, the project would:

- Track and report on trends and best and promising practices in consumer outcome oriented community-based services and quality assurance systems affecting children and adults with developmental disabilities and their families;
- Convene working conferences to develop and share strategies for

developing new comprehensive state plans for consumer-outcome oriented programs and/or quality assurance methods;

- Disseminate relevant research findings pertaining to consumer-oriented programs and quality assurance methods for people with developmental disabilities;

- Broker technical assistance, especially peer-to-peer consultations, designed to assist stakeholders to work together to apply research and best practices regarding consumer-outcome oriented service and linked quality assurance systems for people with developmental disabilities;

- Sponsor forums, on-line conferences and other ongoing exchanges to facilitate a greater understanding of best practices in consumer-oriented community-based programs and quality assurance systems.

These activities may be sequenced so that information gathering is the principal activity of the first year with dissemination (along with continued information gathering) beginning in the second and continued into the third year of the project.

Applications should 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. 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.

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

- Consumer/self-advocate orientation and participation.

- Key project personnel with direct life 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 multicultural 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 electronic and other effective, affordable, and accessible formats of communication.

- 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.

*Evaluation Criteria:* The four criteria that follow will be used to review and evaluate each application under this announcement. Each of these criterion should be addressed in the project description section of the application. The point values indicate the maximum numerical weight each criterion will be accorded in the review process. The specific information to be included under each of these headings is described in Section G of Part III, General Instructions for the Uniform Project Description. Additional information that must be addressed is described below.

Criterion 1: Objectives and Need for Assistance (20 Points)

The application must identify the precise location of the project and area to be served by the proposed project. Maps and other graphic aids must be attached.

Criterion 2: Results or Benefits Expected (20 Points)

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 is reasonable in view of the expected results.

Criterion 3: Approach (35 Points)

Discuss the criteria to be used to evaluate the results, and explain the 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.

Criterion 4: Organization Profile (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.

This section 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. It may include descriptions of any current or previous relevant experience, or describe the competence of the project team and its demonstrated ability to produce a final product that is readily comprehensible and usable. An organization chart showing the relationship of the project to the current organization must be included.

*Project Duration:* This announcement is soliciting 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 the project period 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 \$200,000–\$250,000 for the first 12-month budget period or a minimum of \$600,000 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 \$200,000 in Federal funds (based on an award of \$200,000 per budget period) must include a match of at least \$66,666 (the total project cost is \$266,666, of which \$66,666 is 25%).

**Anticipated Number of Projects to be Funded:** It is anticipated that up to one (1) project will be funded under this priority area.

## Part V. Instructions for the Development and Submission of Applications

This Part contains information and instructions for submitting applications in response to this announcement. An application package containing forms can be obtained by any of the following methods: Pat Laird, ADD, 370 L'Enfant Promenade SW, Washington, DC, 20447, 202/690-7447; <http://www.acf.dhhs.gov/programs/add>; or [add@acf.dhhs.gov](mailto:add@acf.dhhs.gov).

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 (SPOC)

All applications under the ADD priority areas are required to follow the Executive Order (E.O.) 12372 process, "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 September 22, 1997, all States and territories, except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington, American Samoa and Palau, have elected to participate in the Executive Order process and have established a State Single Point of Contact (SPOC). Applicants from these jurisdictions or for projects administered by Federally-recognized Indian Tribes need take no action regarding E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions.

Applicants must submit all required materials to the SPOC as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials and indicate the date of this submittal (or date SPOC was contacted, if no submittal is required) on the SF 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application due date to comment on proposed new or competing continuation awards. However, there is insufficient time to allow for a complete SPOC comment period. Therefore, we have reduced the comment period to 30 days from the closing date for applications. These comments are reviewed as part of the award process. Failure to notify the SPOC can result in delays in awarding grants.

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 that may trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit

Resolution, 370 L'Enfant Promenade, SW, Mail Stop 326F-HHH, Washington, DC 20447, Attn: 93.631 ADD—Projects of National Significance.

Contact information for each State's SPOC is found in the application package or ADD's website.

### 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 in the application package or ADD's website under Programs.

### C. Deadline for Submittal of Applications

One signed original and two copies of the application must be submitted on or before August 23, 1999 to: U.S. Department of Health and Human Services, Administration for Children and Families, Administration on Developmental Disabilities, 370 L'Enfant Promenade, SW, Mail Stop 326F-HHH, Washington, DC 20447, Attn: Lois Hodge.

Applications may be mailed or hand-delivered. Hand-delivered applications are accepted during the normal working hours of 8:00 a.m. to 4:30 p.m., Monday through Friday. Applications shall be considered as meeting an announced deadline if received by the deadline date at the ACF Grants Office (Close of Business: 4:30 p.m., local prevailing time).

**Late applications:** Applications that do not meet the criterion stated above are considered late applications. ACF/ADD shall notify each late applicant that its application will not be considered in the current competition.

**Extension of deadlines:** ACF may extend the deadline for all applicants due to acts of God, such as floods, hurricanes, or earthquakes; or when there is a widespread disruption of the mails. However, if the granting agency does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

### D. Instructions for Preparing the Application and Completing Application Forms

The SF 424, SF 424A, SF 424A-Page 2 and Certifications/ Assurances are contained in the application package. 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. An application 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 of ADD's priority areas, 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, including Federally recognized Indian Tribes, "equipment" is tangible, non-expendable personal property having a useful life of more than one year and acquisition cost of \$5,000 or more per unit.

Justification: Equipment to be purchased with Federal funds must be justified. The equipment must be required to conduct the project, and the applicant organization or its 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.

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

Section C—Non-Federal Resources. This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12 entitled "Totals." In-kind contributions are defined in title 45 of the Code of Federal Regulations, Parts 74.51 and 92.24, as "property or services which benefit a grant-supported project or program and which are contributed by non-Federal third parties without charge to the grantee, the subgrantee, or a cost-type contractor under the grant or subgrant."

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 Description

The Project Description 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) Organization Profile.

The specific information to be included under each of these headings is described in Section G of Part III, General Instructions for the Uniform Project Description.

The narrative should be typed double-spaced on a single-side of an 8½" x 11" plain white paper, with 1" margins on all sides, using black print no smaller than 12 pitch or 12 point size. 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 copying 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.

### 4. Part V—Assurances/Certifications

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

Debarment and Other Responsibilities certifications, and need not be mailed back 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 (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.

### 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 that 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 Description (See Part III, Section C);
  - \_\_\_ 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 of the Pro-Children Act of 1994; 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 of 1995 (P.L. 104-13)*

The Uniform Project Description information collection within this announcement is approved under the Uniform Project Description (0970-0139), Expiration Date 10/31/2000.

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining

the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

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

Dated: July 13, 1999.

**Sue Swenson,**

*Commissioner, Administration on Developmental Disabilities.*

[FR Doc. 99-18511 Filed 7-21-99; 8:45 am]

BILLING CODE 4184-01-P