

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. ACYF/CB/AO-96-1]

#### Adoption Opportunities Program; Announcement of Availability of Financial Assistance and Request for Applications

**AGENCY:** Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF), Department of Health and Human Services (DHHS).

**ACTION:** Announcement of the Availability of Financial Assistance and Request for Applications to Conduct Demonstration Projects Funded Under the Adoption Opportunities Program in the Children's Bureau, Administration on Children, Youth and Families.

**SUMMARY:** The Children's Bureau (CB) within the Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF) announces the availability of fiscal year (FY) 1996 funds from the Adoption Opportunities Program for demonstration grants to State child welfare agencies, public or private nonprofit child welfare and adoption agencies, organizations and adoptive parents' groups for projects aimed at: (a) Increasing the placements in adoptive families of children, especially minority children, who are in foster care and have the goal of adoption; (b) fostering model collaboration for the adoption of children with developmental disabilities; (c) increasing practice options to secure permanency for children; (d) developing resource materials assisting transcultural and transracial adoptions; and (e) allowing leaders in the adoption field to propose innovative endeavors.

This announcement contains forms and instructions for submitting an application.

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

**SUPPLEMENTARY INFORMATION:** This program announcement consists of three

parts. Part I provides information on the Children's Bureau and general information on the application procedures. Part II describes the review process, additional requirements for the grant applications, the criteria for the review and evaluation of applications, and the programmatic priorities for which applications are being solicited. Part III provides information and instructions for the development and submission of applications.

The forms to be used for submitting an application follow Part III. Please copy as single-sided forms and use in submitting an application under this announcement. No additional application materials are available or needed to submit an application.

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

#### Part I—General Information

##### A. Background

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

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

Within ACYF, the Children's Bureau plans, manages, coordinates and supports child welfare services programs. It administers the Foster Care and Adoption Assistance Program, the Child Welfare Services State Grants Program, the Child Welfare Services Research, Demonstration and Training Programs, the Independent Living Initiatives Program, the Adoption Opportunities Program, the Temporary Child Care for Children With Disabilities and Crisis Nurseries Program, the Abandoned Infants Assistance Program, and the Family Preservation and Support Services Program.

The federal statutory, regulatory, policy and program framework for

adoption has emphasized overcoming numerous complexities in order to facilitate the completion of adoptions, creating financial incentives for the adoption of certain children for whom it would be difficult to secure an adoptive placement, requiring each State to establish a pool of adoptive families reflecting the ethnic and racial diversity of children for whom adoptive homes are needed, and promoting a vision of and guidance for permanence by forging a National Adoption Strategic Plan and stimulating communication and collaboration among foster care, adoption and court professionals.

The Adoption Opportunities Program, originally enacted in title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, and most recently amended by the Child Abuse, Domestic Violence, Adoption, and Family Services Act of 1992, Public Law 102-295, works to eliminate barriers to adoption and provide permanent homes for children who would benefit from adoption. The Adoption Opportunities Program facilitates the elimination of barriers to adoption by: (1) promoting adoption legislation and procedures in the States and territories of the United States in order to eliminate jurisdictional and legal obstacles to adoption; (2) promoting quality standards for adoption services, pre-placement, post-placement, and post-legal adoption counseling, and standards to protect the rights of the children in need of adoption; and (3) demonstrating expeditious ways to free children for adoption for whom it has been determined that adoption is the appropriate plan. This discretionary program awards grants and contracts to public and private non-profit agencies.

The passage of the Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, resulted in the establishment of the title IV-E adoption assistance program. This entitlement provides funds to States to assist in paying costs associated with the adoption of children who are AFDC or SSI eligible and have special needs, such as being older or disabled. The adoption assistance program encourages and supports permanence for children with special needs in adoptive homes, thereby preventing their inappropriate and excessive stays in foster care.

Another major legislative initiative in the area of adoptions, the Multiethnic Placement Act (MEPA), was passed in 1994. The purposes of MEPA are to decrease the length of time that children wait to be adopted; to prevent discrimination in the placement of children on the basis of race, color, or

national origin; and to increase the identification and recruitment of foster and adoptive parents who can meet the children's needs. MEPA does three things:

- prohibits an agency or entity that receives Federal financial assistance and is involved in adoption or foster care placements from delaying or denying the placement of a child based solely on the race, color or national origin of the foster or adoptive parent or the child involved;
- allows for the consideration of race, color, or national origin, along with other factors, in making a placement decision only when a child placement agency has made a narrowly tailored, individualized determination that the consideration of such factors is in the best interests of a particular child; and
- requires that agencies engage in diligent recruitment efforts to develop a pool of foster and adoptive families who reflect the racial, ethnic or national origin of the children in care, and/or who can meet the needs of the children.

In response to MEPA, States have been required to devise comprehensive recruitment plans and to enlist potential foster and adoptive families who reflect the ethnic and racial diversity of the children for whom foster and adoptive homes are needed. These recruitment plans must be included in each State's title IV-B child and family services plan.

The Children's Bureau has provided policy and program guidance to the adoption field by fostering the development of the National Adoption Strategic Plan in December 1995, based on recommendations from the Adoption Program Network. The Strategic Plan specifies goals and objectives and defines measures of success. It identifies what should be accomplished, while affording States the flexibility to determine how to accomplish the goals and objectives. The Children's Bureau has also sanctioned collaboration among child welfare professionals by convening a Permanency Partnership Forum in March 1996 which brought together State adoption, foster care, and court professionals from around the country to share and gain knowledge and ideas on a variety of key cross-cutting issues that impact on permanence for children.

This FY 1996 Adoption Opportunities Program Announcement maintains the emphasis on permanence and collaboration and encourages demonstration and innovation efforts which target various groups of children and specific types of activities.

*B. Statutory Authority Covering This Announcement Title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, as amended*

*Availability and Allocation of Funds*

The Administration for Children, Youth and Families proposes to award appropriately 15 new grants in fiscal year 1996 in varying amounts. The total combined funding for the Priority Areas 1.01, 1.02, 1.03, 1.04, 1.05 and 1.06 for fiscal year 1996 competitive grants is approximately \$2.1 million.

*Part II. The Review Process and Priority Areas*

*A. Eligible Applicants*

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

Before review, each application will be screened for applicant organization eligibility as specified under the selected priority area. Applicants from ineligible organizations will not be considered or reviewed in the competition, and the applicants will be so informed.

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

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

*B. Review Process and Funding Decisions*

The closing time and date for the receipt of the applications is 4:30 p.m. (Eastern Time Zone) on August 26, 1996. Applications received after 4:30 p.m. will be classified as late. Timely applications received by the deadline date which are from eligible applicants will be reviewed and scored competitively. Experts in the field, generally persons outside the Federal government, will use the appropriate evaluation criteria listed later in this section to review and score the applications. The results of this review are a primary factor in making funding decisions.

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

In making decisions on awards, ACYF may give preference to applications which focus on or feature: overrepresented populations; 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 that administer or deliver human services; substantial involvement of volunteers; substantial involvement (either financial or programmatic) of the private sector; a favorable balance between Federal and non-Federal funds available for the proposed project; the potential for high benefit for low Federal investment; a programmatic focus on those most in need; and/or substantial involvement in the proposed project by national or community foundations.

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

*C. Evaluation Criteria*

A panel of 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.

The reviewers will determine the strengths and weaknesses of each application using the evaluation criteria listed below, provide comments and assign numerical scores. The point value following each criterion heading indicates the maximum numerical weight.

All applications will be evaluated against the following criteria.

(1) Objective and Need for Assistance (20 points). The extent to which the application pinpoints any relevant physical, economic, social, financial, institutional or other problems requiring a solution; demonstrates the need for the assistance; states the principal and subordinate objectives of the project; provides supporting documentation or other testimonies from concerned interests other than the applicant; and includes and/or footnotes relevant data based on the results of planning studies. The application must identify the precise location of the project and area to be served by the proposed project. Maps and other graphic aids may be attached.

(2) Approach (35 points). The extent to which the application outlines a sound and workable plan of action pertaining to the scope of the project, and details how the proposed work will be accomplished; cites factors which might accelerate or decelerate the work, giving acceptable reasons for taking this approach as opposed to others; describes and supports any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements; and provides for projections of the accomplishments to be achieved. The Approach section should include a listing of the activities to be carried out in chronological order, showing a reasonable schedule of accomplishments and target dates.

The extent to which, when appropriate, the application identifies the kinds of data to be collected and maintained, and discusses the criteria to be used to evaluate the results and successes of the project. The extent to which the application describes the evaluation methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified are being achieved. The application also lists each organization, agency, consultant, or other key individuals or groups who

will work on the project, along with a description of the activities and nature of their effort or contribution.

(3) Results or Benefits Expected (20 points). The extent to which the application identifies the results and benefits to be derived, the extent to which they are consistent with the objectives of the application, and the extent to which the application indicates the anticipated contributions to policy, practice, theory and/or research. The extent to which the proposed project costs are reasonable in view of the expected results.

(4) Staff Background and Organization Experience (25 points). The application identifies the background of the project director/principal investigator and key project staff (including name, address, training, educational background and other qualifying experience) and the experience of the organization to demonstrate the applicant's ability to effectively and efficiently administer the project. The application describes the relationships between the proposed project and other work planned, anticipated or underway by the applicant with Federal assistance.

#### *D. Structure of Priority Area Descriptions*

Each priority area description is composed of the following sections:

*Eligible Applicants:* This section specifies the type of organization eligible to apply under the particular priority area. Specific restrictions are 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 ACYF and/or others, and State models are noted, where applicable.

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

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

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

*Matching Requirement:* This section specifies the minimum non-Federal contribution, either through cash or in-kind match, required in relation to the maximum Federal funds requested for the project. Grantees must provide at least 10 percent of the total cost of the project. The total 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 the match requirements through cash contributions. Therefore, a project requesting \$150,000 in Federal funds (based on an award of \$150,000 per budget period) must include a match of at least \$16,667 (10 percent of total project cost).

*Anticipated Number of Projects To Be Funded:* This section specifies the number of projects that ACYF anticipates it will fund under the priority area.

Please note that applications that do not comply with the specific priority area requirements in the section on "Eligible Applicants" will not be reviewed. Applicants should also note that non-responsiveness to the section "Minimum Requirements for the Project Design" will result in a low evaluation score by the reviewers. Applicants must clearly identify the specific priority area under which they wish to have their applications considered, and tailor their applications accordingly. Previous experience has shown that an application which is broader and more general in concept than outlined in the priority area description scores lower than one more clearly focused on, and directly responsive to, that specific priority area.

#### *E. Available Funds*

The ACYF intends to award new grants resulting from this announcement during the fourth quarter of fiscal year 1996, subject to the availability of funds.

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 project periods which are shorter than the maximums specified in the various priority areas. Non-Federal share contributions may exceed the minimums specified in the various priority areas when the applicant is able to do so. However, if the proposed match exceeds the minimum requirement, the grantee must maintain its proposed level of match support throughout the entire project period unless a waiver is approved to reduce it. Applicants should propose only that non-Federal share they can realistically provide, since any unmatched Federal funds will be disallowed by ACF.

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

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

Grantees must provide at least 10 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 \$150,000 in Federal funds (based on an award of \$150,000 per budget period) must include a match of at least \$16,667 (10 percent of the total project cost). If approved for funding, the grantee will be held accountable for commitments of non-Federal resources, and failure to provide the required amount will result in a disallowance of unmatched Federal funds.

#### *G. Priority Areas Included in This Announcement*

- 1.01 Achieving Increased Adoptive Placement of Children in Foster Care
- 1.02 Innovations Increasing Adoptive Placements of Minority Children
- 1.03 Strategic Collaboration for Completing and Sustaining Adoptions of Children with Developmental Disabilities
- 1.04 Expanding Options for Permanency
- 1.05 Developing Resource Materials to Assess and Prepare Foster and Adoptive Parents to meet the Needs of Children of a Different Race, Color, or National Origin
- 1.06 Operation of a National Adoption Information Exchange System

#### *H. Priority Area Descriptions and Requirements*

##### *1.01 Achieving Increased Adoptive Placement of Children in Foster Care*

*Eligible Applicants:* Eligibility is limited to State social service agencies.

*Purpose:* To develop demonstration projects to increase the placement of children, who are in foster care and are legally free for adoption, with adoptive families.

*Background Information:* Children in foster care who are free for adoption, especially young people with special needs, often have difficulty attaining permanence through placement with an adoptive family. There are multiple reasons for this. Increasingly, children entering foster care have more complex problems which require more intensive services. Permanent families must be continuously recruited and prepared to parent the growing population of children who cannot return to their birth families. Supportive services must be added or improved so that the children in foster care who are legally free for adoption can move into an adoptive placement in a timely manner. This requires collaborative efforts with the court system to terminate parental rights. In addition, agencies must commit resources for the ongoing support of adoptive families from recruitment through the post-legal phase.

The Adoption Opportunities Program has provided demonstration grants to States to improve adoption services for the placement of children with special needs who are legally free for adoption. States have received awards to make systemic changes in their adoption programs in areas such as: acquiring computer hardware, software and membership in the National Adoption Exchange's Network; developing a consortium of nine States with large numbers of children in care in order to share knowledge to improve and enhance their special needs adoption programs; and forming a seven State national consortium on post-legal adoption services to develop and share model programs and promising practices of post legal adoption services for the adoption community.

These projects have demonstrated that improvements in placing children with adoptive families are achieved when permanent plans are made and carried out very early in the placement; when there are sufficiently trained and experienced staff; and when there are available resources and administrative commitments to adoption and to coordinated community-based efforts.

Even though more than half of the States have received grants to improve adoption services, only a small number have been able to sustain these efforts because of limited funds, staffing problems, and because adoption services are often not viewed as a priority.

This priority area is designed to provide incentives for States to craft innovative initiatives to secure and sustain permanence for children who are free for adoption.

*Minimum Requirements for Project Design:* In order to successfully compete under this priority area, the applicant should:

Identify and verify the number of children in foster care to be served by the project who are legally free and waiting for adoptive placement.

Provide and verify the proportion of placement of children in foster care placed in adoption in the year preceding the application (the proportion of placement is the number of children placed divided by the number of children waiting for adoption).

Describe the measurable improvements to be achieved during the period of the grant and the methods to be employed to increase the proportion of placement of legally-free children in foster care with adoptive families. Improvements should be specified as goals and objectives which are measurable and represent an increase over previous years.

Describe how the proposed improvements, if successful, would be continued beyond the period of Federal support under this grant as part of the agency's ongoing program and describe the specific steps which would be taken to accomplish this.

Propose and describe an evaluation plan which will focus on the innovations used to improve the placement of children who are legally free for adoption and which is capable of identifying the successes and failures of the initiative.

The evaluation plan should include the collection and analysis of data to determine placement rates and the types of clients served (e.g., waiting children, prospective adoptive families). Statistics should be collected to determine the availability of adoptive families during the program period. The evaluation should also include descriptive information on the processes and procedures used in implementing the project.

Discuss plans for disseminating information on the strategies utilized and the outcomes achieved. Identify audiences who will benefit from receiving the information and specify

mechanisms and forums which will be used to convey the information and support replication by other interested agencies.

Provide assurances that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

*Project Duration:* The length of the project must not exceed 12 months.

*Federal Share of Project Costs:* The maximum Federal share of the project is not to exceed \$100,000 per 12-month budget period.

*Matching or Cost Sharing*

*Requirement:* Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$100,000 in Federal funds (based upon an award of \$100,000 per budget period) must include a match of at least \$11,111 (10 percent of the total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

*CFDA:* 93.652 Adoption Opportunities Grants: title II of the Child Abuse Prevention and Treatment Adoption Reform Act of 1978 Public Law, 95-266, as amended.

## 1.02 Innovations Increasing Adoptive Placements of Minority Children

*Eligible Applicants:* States, local government entities, federally recognized Indian Tribes and Indian Tribal Organizations, public or private non-profit licensed child welfare or adoption agencies, and adoption exchanges with experience in working with minority populations.

*Purpose:* To implement innovative programs designed to increase the adoptive placement of minority children who are in foster care and have the goal of adoption, with an emphasis on the recruitment, retention and utilization of minority families and adoptive placements for minority children who are over the age of ten and/or a part of sibling groups.

*Background Information:* According to the Voluntary Cooperative

Information System administered by the American Public Welfare Association (VCIS/APWA), in 1993 almost 1,200 children in the U.S. were separated from their biological parents every day and placed in an unfamiliar setting. VCIS/APWA also estimates the number of "waiting" children in the U.S. at approximately 86,000, and concludes that adoptive families for roughly 21,000 of these children are still actively being sought. These are children for whom it is difficult to find an adoptive placement because they are not the young people families generally seek. It is estimated that approximately 44% of the 21,000 children seeking an adoptive placement are 10 years and older, and approximately 55% are members of a minority group.

There continues to be an insufficient pool of adoptive families, especially for older minority children and sibling groups for whom adoption has been deemed the preferred means of accomplishing permanence. The Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, places an emphasis upon the recruitment of minority families and provides funds for demonstration projects emphasizing the recruitment of families to adopt waiting minority children. The purpose of this priority area is to be responsive to this legislative intent.

*Minimum Requirements for Project Design:* In order to successfully compete under this priority area, the applicant should:

Identify and describe existing barriers to minority adoption in the locale where the project would be implemented; the number of families who would be recruited; and the number of children who would be placed.

Describe the innovative methods that would be employed to recruit, retain and prepare minority families for adoption, making sure to include individuals who are single.

Provide assurances that the project would not require the payment of fees by families for the adoption process.

Describe how training in cultural competence would be provided to all relevant staff to increase their effectiveness in serving minority children and families.

Present an evaluation plan for assessing the project's effectiveness in achieving its stated goals and objectives, and its ability to provide services to prospective adoptive families through the completion of the adoption.

Document how the project would be continued beyond Federal funding as part of the agency's ongoing program

and describe the specific steps which would be taken to accomplish this.

If the applicant is a private non-profit adoption agency, it must provide evidence of licensure by submitting a copy of its license with the application.

Discuss plans for disseminating information on the innovations utilized. Identify audiences who will benefit from receiving the information and specify mechanisms and forums which will be used to convey the information and support replication by other interested agencies.

Provide assurances that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

Provide assurances and document that the project would be staffed and implemented within 90 days of the notification of the grant award.

*Project Duration:* The length of the project must not exceed 24 months.

*Federal Share of Project Costs:* The maximum Federal share of the project is not to exceed \$100,000 per 12-month budget period.

*Matching or Cost Sharing*

*Requirement:* Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. 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 \$11,111 (10 percent of the total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

*CFDA:* 93.652 Adoption Opportunities Grants: title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, as amended.

## 1.03 Strategic Collaboration for Completing and Sustaining Adoptions of Children with Developmental Disabilities

*Eligible Applicants:* Agencies administering any of the following public programs: Child Welfare; Developmental Disability Councils;

Protection and Advocacy Systems; or University Affiliated Programs. Joint applications may be developed by consortiums at the regional, State, Tribal, or local level which bring complementary expertise to bear on the adoption of children with developmental disabilities. All applications, even those developed by two or more organizations, must identify a single lead agency to be the primary administrator of the grant and the official recipient of the award.

**Purpose:** To increase and successfully maintain the number of adoptions of children with developmental disabilities through the creation of effective collaboration strategies and models for the provision of adoption services to developmentally disabled children and their families in the public child welfare system.

**Background Information:** Children with special needs constitute the overwhelming percentage of young people waiting for an adoptive placement, residing in non-finalized adoptive homes, or benefiting from finalized adoptions. According to VCIS/APWA 1993, almost 82% of the children waiting for an adoptive placement in 12 States, had one or more special needs. Moreover, data from the same 12 States on finalized adoptions, showed that approximately 82% of the children also had one or more special needs. In addition, VCIS/APWA data illustrates that in 11 States, almost 76% had one or more special needs. Not all of the children identified above as having one or more special needs are actually developmentally disabled, because in the adoption field, special needs can also include such characteristics as being older or membership in a minority or sibling group. However, the sheer magnitude of the special needs percentages suggests there are significant numbers of young people in the adoption stream who have a developmental disability.

Relevant public agencies have a responsibility to facilitate adoptions, and provide support and resources to families formed by adoption. In terms of responding to the needs of children with developmental disabilities and families who are motivated to and/or actually adopt them, interagency work is especially vital. While there are examples of effective cooperation between Child Welfare Agencies (CW), Developmental Disabilities Councils (DDC), Protection and Advocacy Systems or University Affiliated Programs (UAP), very little has been done in the way of establishing exemplary collaborative strategies and models. In States with an "umbrella

agency," wherein CW and DDC are part of the same Statewide department, there is a need for delineating and implementing collaborative procedures to facilitate work with children with developmental disabilities in need of adoption and families adopting these children. In States with separate departments, there is even greater need to develop such procedures.

This priority area provides the field with the opportunity to develop collaboration strategies and models to increase the number of adoptees with developmental disabilities and to provide services to strengthen families who have adopted children with disabilities.

**Minimum Requirements for Project Design:** In order to successfully compete under this priority area, the application should:

Demonstrate knowledge of current issues in public agency adoption and other issues related to children with developmental disabilities in the child welfare system.

Describe the process that will be used to identify the needs of children and families to be served by the project. Discuss how individuals with disabilities and potential and actual adoptive families will be involved in the process.

Describe the current system the applicant is addressing at the State, regional or local level. Identify, policy, program and interagency issues which either serve to support or hinder/prevent the adoption of children with developmental disabilities.

Describe the measurable goals and objectives to be achieved that will lead to increasing and successfully maintaining the adoptions of children with developmental disabilities.

Describe the development and plans for the institutionalization of the proposed collaborative strategies or model on either a statewide, regional or local basis that will increase and sustain adoptions of children with developmental disabilities.

Document that the staff to be involved in the project are knowledgeable of relevant policies, federal regulations, laws and cultural issues that impact children with developmental disabilities and their adoptive families.

Present an evaluation plan for assessing the project's effectiveness in achieving its stated goals and objectives, and its ability to provide services to adoptive families through the completion of the adoption.

Provide a plan for how individuals with disabilities and potential and actual adoptive families will be involved in the evaluation process.

Provide specific written commitments from collaborating agencies conveying their role and the work they will perform.

Discuss plans for disseminating essential information on the strategies and/or model utilized. Identify audiences who will benefit from receiving the information and specify mechanisms and forums which will be used to convey the information and support replication by other interested collaborative groups of agencies.

Provide assurances that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

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

**Federal Share of Project Costs:** The maximum Federal share is not to exceed \$100,000 per 12-month budget period.

**Matching or Cost Sharing**

**Requirement:** Grantee must provide at least 10 percent of the total cost of the project. The total cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$100,000 in Federal funds must include a total match of at least \$11,111 (10 percent of the total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

**CFDA:** 93.652 Adoption

Opportunities Grants: title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, as amended.

#### 1.04 Expanding Options for Permanency

**Eligible Applicants:** States, local government entities, federally recognized Indian Tribes and Indian Tribal Organizations, public or private non-profit licensed child welfare or adoption agencies that currently serve children in the public child welfare system.

**Purpose:** To develop a system reform project that incorporates or strengthens the practice of one or more of the following non-adversarial options for permanency: voluntary relinquishment, concurrent planning and/or mediation.

**Background Information:** The Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, mandates securing a safe, permanent home for every child. The child welfare system continues to struggle with meeting this goal in a timely fashion. The practice base for achieving permanency for children is too often based on adversarial or involuntary methods. The major practice is to seek involuntary termination of parental rights (TPR) for children for whom adoption is considered the best permanency plan. Involuntary termination of parental rights can be a lengthy and expensive process which may involve court appeals. The procedure can also be emotionally stressful for birth, foster and prospective adoptive parents and the child. Frequently this practice is insensitive to the need of some children to maintain connections with their birth families. Although necessary in some cases, TPR and other practices of a similar tone, have failed to significantly reduce the large number of children in the foster care system waiting to be freed for adoption, to be adopted, or for other permanent arrangements.

Alternatively, the child welfare system is encouraged to focus on approaches which set a different tone and emphasize non-adversarial front-end practices and procedures and strengthen the agency's capacity to achieve earlier and better outcomes for children and their families. Expanding options for permanency, which encourage cooperative processes and early decision making among all parties involved, are essential to achieving child, family, and system well-being.

The demonstration projects funded under this priority area should be designed to inform the field about the efficacy of these non-adversarial approaches in achieving permanency earlier, more quickly and more sensitively for these children. Permanency is broadly conceptualized to include adoption, guardianship to a relative or non-relative and parental consent to relative or non-relative adoption. One or a combination of the following approaches can be included in the demonstration: voluntary relinquishment, mediation or concurrent planning.

**Mediation** is the voluntary, non-coercive process of negotiation with the assistance of a neutral, impartial third party. The aim of mediation in child welfare and permanency is to encourage birth parents, extended relatives and foster and/or adoptive parents to cooperate in making decisions that reflect the best interest of the child.

**Concurrent Planning** is the process of workers' developing alternative permanent plans for children during their initial contact with the child welfare system. Concurrent planning involves enacting a plan for family preservation or reunification with the child's birth family, while simultaneously engaging in planning for alternative permanency placements such as adoption and kinship care.

**Relinquishment** is a voluntary process of transferring parental rights to an authorized child welfare agency. It is often utilized at the request of the parent and can be provided at any point along the child welfare service continuum. In recent years it has been underutilized by child welfare workers, and the professional skills associated with counseling parents on the issues of voluntary relinquishment have eroded.

This priority area encourages child welfare system reform by incorporating and/or strengthening non-adversarial approaches into practice to achieve permanency for children in the child welfare system.

**Minimum Requirements for Project Design:** In order to successfully compete under this priority area, the applicant should:

Demonstrate knowledge of current issues in adoption and permanency for children in the public child welfare field.

Describe the project and explain why a particular system reform approach or set of approaches is being selected. Demonstrate knowledge and understanding of the reform approach or approaches selected. If more than one approach is selected, describe how they are linked.

Describe how the approach(es) to be used in this demonstration differ from current agency practice and how this project's reform approaches will be institutionalized.

Describe the measurable goals and objectives of the project to be used to determine if the approach selected led to an increase in achieving permanency earlier.

Describe the process and criteria that will be used to identify children and families in need of these services.

Describe how the birth families and extended families will be involved in the permanency planning process.

Provide assurances that project staff are knowledgeable of policies, federal regulations, laws and cultural issues that impact on permanency for children.

Describe the training/staff development components of the project which will be implemented.

If the project involves coordination with other agencies, present a plan

clarifying how these agencies will work with the applicant to accomplish project goals and objectives.

Describe an evaluation plan which will focus on the reform approaches and which is capable of identifying the successes and failures of the approaches.

The evaluation plan should be outcome oriented and include the collection and analysis of data to ascertain the effectiveness of the non-adversarial options for permanency. The evaluation should also include descriptive information on the processes and procedures used in implementing the project.

Discuss strategies for disseminating information on the reform approaches utilized. Identify audiences who will benefit from receiving the information and specify mechanisms and forums which will be used to convey the information and support replication by other interested agencies.

If the applicant is a non-profit private agency, it must provide assurance that the children to be served through this demonstration are public agency children.

Provide assurances that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees to exchange information and address current child welfare issues.

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

**Federal Share of Project Cost:** The maximum Federal share of the project is \$100,000 per 12-month budget period.

**Matching Requirement:** Grantees must provide at least 10 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. Therefore, a project requesting \$100,000 in Federal funds (based upon an award of \$100,000 per budget period) must include a match of at least \$11,111 (10 percent of the total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

**CFDA:** 93.652 Adoption Opportunities Grants : title II of the Child Abuse Prevention and Treatment

and Adoption Reform Act of 1978, Public Law 95-266, as amended.

#### 1.05 Developing Resource Materials for Foster and Adoptive Parents To Meet the Needs of Children of a Different Race, Color, or National Origin

**Eligible Applicants:** States, local government entities, public and private non-profit licensed child welfare and adoption agencies, adoption organizations, university-based institutes and incorporated adoptive parents' groups with materials development expertise.

**Purpose:** To develop resource materials capable of assisting foster and adoptive parents in meeting the needs of children of a racial and ethnic group different from their own.

**Background:** Many children in foster care are currently being cared for by parents of a different race, color or national origin, and if adopted, are more than likely to be adopted by their foster parents. With the passage of MEPA barriers to transracial and transcultural placements are being eliminated. At times, parents in these circumstances have received little or no assistance in looking at how these differences can affect themselves, their own family and the child(ren). Additionally, they may not have been prepared to deal with the racism and bias their foster or adoptive child(ren) and their newly formed family may encounter.

To meet the needs of all waiting children both minority foster and adoptive parents and transracial and transcultural families will be formed. Agencies involved in foster or adoptive parent recruitment, parent preparation and/or child placement may need assistance in appropriately assessing the capacity of those applicants to deal with the differences, and providing them with suitable training and education. How parents value, respect, appreciate and educate the child regarding his or her racial and/or ethnic background are among the most critical factors in the child's healthy development.

The Multiethnic Placement Act (MEPA) Guidance published in April 1995 identifies the following factors as being among those that agencies need to consider in assessing a prospective parent's suitability to care for a particular child. They are:

- the ability to form relationships and to bond with the specific child;
- the ability to help the child integrate into the family;
- the ability to accept the child's background and to help the child cope with his/her past;
- the ability to accept the behavior and personality of the specific child;

- the ability to validate the child's cultural, racial and ethnic background; and

- the ability to meet the child's particular educational, developmental or psychological needs.

To facilitate the implementation of MEPA, child placement agencies have been looking for new resource materials to use in assessing and preparing families to provide permanence for children who are culturally, ethnically, and racially different. This priority area promotes the development of resources responsive to this need.

**Minimum Requirements for Project Design:** In order to successfully compete under this priority area, the applicant should:

Describe applicant's understanding of the placement of public sector children in foster care and adoption, as well as an understanding of issues in assessing and preparing prospective foster and adoptive parents for children who have been in foster care.

Demonstrate knowledge of all factors to be considered in determining a child's placement needs and of factors to be considered in helping a family make a decision to parent or not to parent a child of a different race, color or national origin.

Demonstrate knowledge of the role that culture and ethnicity play in the development of a child's self esteem.

Demonstrate knowledge of the current issues in transracial/transcultural placements.

Identify resource deficiencies that currently exist and demonstrate how the proposed resource materials respond to the deficiencies identified.

Develop a Panel of Advisors from diverse backgrounds and disciplines, to assist in the content development and design of the resource materials.

Demonstrate that staff to be utilized in the project are culturally competent and have experience working with families and children from diverse backgrounds and racial and ethnic groups.

Provide assurance that draft and final content of the resource materials will be submitted for review by federal staff to confirm legal and policy accuracy.

Describe how the resource materials developed will be field-tested and evaluated prior to submission as a final product.

Discuss strategies for disseminating and/or marketing the resource materials. Identify audiences who will benefit from receiving the materials and specify mechanisms and forums which will be used to convey information about the materials and support utilization by other child welfare agencies.

Provide assurances that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

**Project Duration:** The length of the project should not exceed 24 months.

**Federal Share of Project Cost:** The maximum Federal share of the project is not to exceed \$75,000 per 12-month budget period.

**Matching Requirements:** Grantees must provide at least 10 percent of the total cost of the project. The total cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$75,000 in Federal funds (based on an award of \$75,000 per budget period) must include a match of at least \$8,333 (10 percent of total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirement through cash contributions.

**Anticipated Number of Projects To Be Funded:** It is anticipated that two projects will be funded.

**CFDA:** 93.652 Adoption Opportunities Grant: title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, as amended.

#### 1.06 Operation of a National Adoption Information Exchange System

**Eligible Applicants:** State or local governments, public or private non-profit agencies, organizations or universities with expertise in adoption and the ability to maintain a National Adoption Information Exchange System.

**Purpose:** To maintain a National Adoption Information Exchange System to bring together children who would benefit from adoption and qualified prospective adoptive parents who are seeking such children, and conduct national recruitment efforts in order to reach prospective parents for children waiting to be adopted.

**Background information:** The Adoption Opportunities statute spells out the intent of the Congress to facilitate the elimination of barriers to adoption and to provide permanent and loving home environments for children who would benefit from adoption, particularly children with special needs, including disabled infants with life threatening conditions.

The statute requires the Administration on Children, Youth and Families (ACYF) to conduct directly or by grant or contract with public or private non-profit agencies or organizations, ongoing, extensive recruitment efforts on a national level, to develop national public awareness efforts to unite children in need of adoption with appropriate adoptive parents, and to establish a coordinated referral system of recruited families with appropriate State or Regional adoption resources to ensure that families are served in a timely fashion.

In 1979, the North American Center on Adoption, a unit of the Child Welfare League of America, Inc. was awarded a three year contract by the Children Bureau for the National Adoption Information Exchange System project. This project focused on three areas: Designing, developing and operating a National Adoption Exchange system; providing and coordinating training and technical assistance to the State and Regional exchanges to enhance their ability to participate in the national exchange system; and publishing a significant quantity of materials needed to facilitate the adoption of waiting children. The contract was replaced with a competitive grant awarded to the Adoption Center of Delaware Valley in 1983, to operate the National Adoption Information Exchange System for two years. The grant was to provide six major services: information and referral, computerized listing of children and families, match/referral, recruitment and public education, training and technical consultation and development of the national adoption network. During the second year of the grant, there was an increased emphasis on telecommunications as a result of input provided by members of the Corporate Advisory Board and Child Welfare Advisory Board.

In September 1986 ACYF funded 44 States, including Puerto Rico and the District of Columbia, with small grants so that they could purchase hardware and software to join the national adoption telecommunications network, and to communicate with each other around concerns in the field of adoption. In 1985, the National Adoption Center (NAC), formerly the Adoption Center of Delaware Valley, received a grant to continue the development and implementation of the national adoption telecommunication network and to provide coordination and support services to manage the network and to provide technical consultation to States to continue building and implementing the network. The membership of the network

includes public and private agencies, and other child welfare organizations, parent groups, independent or non-affiliated social workers and researchers.

In 1990, a new five year grant was competitively awarded to the NAC to continue the National Adoption Information Exchange System. The NAC increased usage of the system by providing training and technical assistance to its members and by providing national outreach and public education to recruit adoptive families for children who wait. In September 1995 an additional short-term grant was awarded to the National Adoption Center.

During its years of operation under various auspices, the National Adoption Information Exchange System, also known as the NAE has increased the visibility of waiting children and enabled approved families to register and gain maximum access to children waiting for adoptive families. The new computer system put into effect in July 1992 has considerably improved the ability of NAE members to access and utilize the information on the exchange. NAE members use the exchange to list children in the child database and to search for adoptive parents for the children whom they list.

However, there continues to be an insufficient number of families listed on the NAE to meet the needs of these children. State and local agencies are reluctant to list families on the NAE whom they believe are potential resources for children in their own States. The agency's preference to find families for children within the State or within close proximity to the State has prompted the development of State and Regional exchanges.

We have reached a critical point in the development of the National Adoption Information Exchange System. Previously, the NAE focused on the following areas: (1) Registration of waiting children and waiting families; (2) the development of a computer database which made this information available to members of the exchange electronically; (3) the number of matches made on behalf of listed waiting children; and (4) the development of national recruitment activities aimed at finding potential adoptive families interested in adoption of special needs children.

In order to remain effective, the NAE must refocus its priorities to emphasize assisting States and localities to build the capacity within their own jurisdictions to meet the needs of waiting children. This priority is based on the premise that only in unusual

circumstances should a national search for an adoptive family be undertaken and that the activity is most effective when carried out at the local, State and regional levels. The NAE should be viewed as an extension of State and Regional exchanges, not as their competitor.

The NAE should be able to develop linkages with a variety of national media organizations in order to educate large segments of the population about the needs of waiting children and on how to access the adoption system. The NAE should be in the position to: (1) Provide training and technical assistance in the development and management of State and Regional exchanges and to provide consultation to exchanges on recruitment strategies for potential adoptive families; (2) facilitate the development of a network of exchanges that connect urban, rural, small and large child welfare service providers in their efforts to bring families and children together; (3) serve as the central receiver of all adoption inquiries generated during national and other recruitment campaigns and disseminate these resources to the Regional and State exchanges; (4) collaborate with organizations such as the Interstate Compact for the Placement of Children (ICPC), the Interstate Compact on Adoption and Medical Assistance (ICAMA), and other relevant agencies to assist with the identification of, and the possible removal of barriers that prevent "necessary" interstate placements which serve the best interest of the child.

The Federal government is in the process of redefining its relationship with States and other child welfare agencies. A new partnership is being forged based upon a vision wherein all concerned agencies will collaborate and cooperate to provide a continuum of services to meet the needs of children. In light of the current opportunity to revitalize child welfare, the role and responsibilities of NAE must be focused on assisting States to improve their ability to meet the needs of the rising numbers of children waiting for permanent families.

*Minimum Requirements for Project Design:* In order to successfully compete under this priority area, the applicant should:

Demonstrate knowledge of adoption and the current challenges faced by the field.

Demonstrate knowledge of the issues and problems related to the maintenance of a national adoption information exchange system and provide documentation of the applicant's plan to address them.

Describe a plan for establishing a 24 hour, 7 day a week, toll-free national adoption exchange telephone number which can be used for national recruitment initiatives, local recruitment initiatives and incoming adoption inquiries generated by these recruitment initiatives.

Develop performance measures that can be used to assess the strengths, weaknesses and successes of the NAE as well as State and Regional exchanges.

Describe a plan for providing training and technical assistance to States and Regions in the following areas: (1) Development of a State or Regional exchange, (2) development of State or Regional recruitment strategies, and (3) use of NAE's telecommunications resources.

Describe a strategy for the development of a network of exchanges which includes linkages between Regional exchanges, State Exchanges, and the NAE in order to maximize the placement options for children.

Describe a plan for enhancing, maintaining and continuing technological and telecommunications access to the national listing of waiting children and waiting families for exchange members.

Demonstrate knowledge of current technologies/programs such as the Internet and the Statewide Automated Child Welfare Information System (SACWIS) which could be used to access information on children in the child welfare system.

Provide documentation of the commitment to assist States in incorporating the exchange system into their computer systems as these systems are fully developed and implemented at the State level.

Describe a plan for periodic national recruitment activities, using a range of media sources, on behalf of waiting children on an annual basis (a minimum of 4 separate events per year, including National Adoption Month Activities).

Develop a media strategy which includes partnerships with State and local agencies in planning, implementing and the follow-up of recruitment activities.

Describe a plan for the production and dissemination of materials for general recruitment activities.

Provide assurances that the staff is knowledgeable of policies, regulations, laws and racial and cultural issues that impact the children who are waiting for an adoptive placement.

Describe a strategy for facilitating linkages and partnerships among (at a minimum) the State adoption specialists, the Interstate Compact on the Placement of Children (ICPC)

Administrators, the Interstate Compact on Adoption and Medical Assistance (ICAMA) Administrators and the NAE to address the issues and problems of interstate placement.

Describe the efforts that will be made to coordinate with the National Adoption Information Clearinghouse (NAIC) and the National Resource Center for Special Needs Adoption (NRCNSA) to assure effective utilization of resources and to avoid duplication of effort and provide assurance that funds from this grant will not be used to support activities that are being conducted by NAIC and NRCNSA.

Describe how the proposed budget reflects the priorities for activities for the NAE described in this program announcement.

Describe a plan for developing a national network of State professionals in the field to serve as an advisory group on the operation of the exchange to address the needs of States.

Provide an assurance that at least one key person from the project will attend an annual 3 to 5 day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau.

Provide assurances that at least one key staff member will attend annually four, one to two day meetings convened by the Children's Bureau in Washington, D.C.

Provide an assurance that key staff will meet with their Federal project officer and other Children's Bureau staff in Washington, D.C. within sixty days of receiving the award.

Agree to enter into a Cooperative Agreement which will require the grantee to submit to the Children's Bureau for review and approval: Work plans, including as appropriate, activities involving Headquarters and Regional Office staff; lists of topics to be covered in technical assistance resources, syntheses, summaries and literature reviews; topics, times and places for conferences; topics for any collection of original data; and draft reports, conference agendas and other materials prior to their finalization and dissemination by the grantee. (A cooperative agreement is Federal assistance in which substantial Federal involvement is anticipated. The respective responsibilities of Federal staff and the awardee are negotiated prior to award.) The grantee shall also cooperate, to the extent that its budget will allow, with the Children's Bureau in meetings, briefings, or other forums to disseminate knowledge gained from its work with States and local communities around adoption issues.

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

*Federal Share of Project Cost:* The maximum Federal share of the project is \$500,000 per budget period.

*Matching Requirement:* Grantees must provide at least 25 percent of the total approved project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$500,000 in Federal funds (based on an award of \$500,000 per budget period) must include a match of at least \$166,666 (25 percent of the total project cost). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

*Anticipated Number of Projects to be Funded:* It is anticipated that 1 project will be funded.

*CFDA:* 93.652 Adoption Opportunities Grants: title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, as amended.

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

This part contains information and instructions for submitting applications in response to this announcement. Application forms are provided, along with a checklist, for assembling an application package. Please copy and use these forms in submitting an application.

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

*A. Required Notification of the State Single Point of Contact* The Adoption Opportunities Program is not covered under Executive Order 12372, *Intergovernmental Review of Federal Programs*.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade SW, 6th Floor East, OFM/DDG, Washington, D.C. 20047.

### *B. Deadline for Submission of Applications*

The closing time and date for the receipt of applications is 4:30 p.m. (Eastern Time Zone) on August 26, 1996. Applications received after 4:30 p.m. 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, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade SW, Washington, DC 20447, (Reference Announcement Number and Priority Area). Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date. Applications hand-carried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m. at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, SW, Washington, D.C. 20024 between Monday and Friday (excluding Federal Holidays). Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

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

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

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

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

The SF 424, 424A, 424B, and certifications have been reprinted for your convenience in preparing the application. See Appendix A. You should reproduce single-sided copies of these forms from the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the Federal Register announcement, as they are printed on both sides of the page.

Please prepare your application in accordance with the following instructions:

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

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

Item 1. Type of submission—Preprinted on the form.

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

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

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

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

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

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

Name and telephone number of the person to be contacted on matters involving this application (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, only provide the prefix and suffix assigned by the DHHS Central Registry System.

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, as indicated in the relevant priority area description.

Item 11. Descriptive Title of Applicant's Project—Enter the project title. The title is generally short and is descriptive of the project, not the priority area title. Place the priority area number in parenthesis after the main program 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 12 month budget 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 ACF funds requested in accordance with the preceding paragraph. This amount should be no greater than the maximum amount specified in the priority area description.

Item 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.

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

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

Item 16a. Is Application Subject to Review By State Executive Order 12372 Process? Yes. —Enter the date the applicant contacted the SPOC regarding this application. Select the appropriate SPOC from the listing provided at the

end of Part III. The review of the application is at the discretion of the SPOC. The SPOC will verify the date noted on the application. If there is a discrepancy in dates, the SPOC may request that the Federal agency delay any proposed funding.

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

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

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

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

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

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

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

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

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

income, in column (f). Enter the total of (e) and (f) in column (g).

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

A separate itemized budget justification for each line item is required. The types of information to be included in the justification are indicated under each category. For multiple year projects, it is desirable to provide this information for each year of the project. 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 cost of fringe benefits, unless treated as part of an approved indirect cost rate.

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

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

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

Equipment—Line 6d. Enter the total costs of all equipment to be acquired by the project. Equipment means an article as non-expendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000.

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. Applicants who anticipate procurement that will exceed \$5,000 (non-governmental entities) or \$25,000 (governmental entities) and are requesting an award without competition should include a sole source justification in the proposal which at a minimum should include the basis for contractor's selection, justification for lack of competition when competitive bids or offers are not obtained and basis for award cost or price.

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

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

Other—Line 6h. Enter the total of all other costs. Where applicable, such costs may include, but are not limited to: Insurance; medical and dental costs; noncontractual fees and travel paid directly to individual consultants; local

transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training costs, including tuition and stipends; training service costs, including wage payments to individuals and supportive service payments; and staff development costs. Note that costs identified as miscellaneous and honoraria are not allowable.

Justification: Specify the costs included.

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

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

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

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

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

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

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

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

Totals—Line 20. For projects that will have more than one budget period, enter

the estimated required Federal funds for the second budget period (months 13 through 24) under column (b) "First". If a third budget period will be necessary, enter the Federal funds needed for months 25 through 36 under (c) "Second". Columns (d) would be used in the case of a 48 month project period. Column (e) would not apply.

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

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

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

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

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

At the bottom of the page, following the summary description, type up to 10 key words which best describe the proposed project, the service(s) involved and the target population(s) to be covered. These key words will be used for computerized information retrieval for specific types of funded projects.

4. Program Narrative Statement. The Program Narrative Statement is a very important part of an application. It should be clear, concise, and address the specific requirements mentioned

under the priority area description in Part II.

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

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

The narrative should be typed double-spaced on a single-side of an 8½" x 11" plain white paper, with 1" margins on all sides. All pages of the narrative (including charts, references/footnotes, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with "Objectives and Need for Assistance", as page number one. Applicants should not submit reproductions of larger size paper, reduced to meet the size requirement.

A page is a single side of an 8½" X 11" sheet of paper. Applicants are requested not to send pamphlets, brochures or other printed material along with their application as these pose xeroxing difficulties. These materials, if submitted, will not be included in the review process if they exceed the page limit criteria. Each page of the application will be counted to determine the total length.

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

6. Part IV—Assurances/Certifications. Applicants requesting financial assistance for a non-construction project must file the Standard Form 424B, "Assurances: Non-Construction Programs." Applicants must sign and return the Standard Form 424B with their applications.

Applicants must provide a certification concerning Lobbying. Prior to receiving an award in excess of

\$100,000, applicants shall furnish an executed copy of the lobbying certificate with their applications. Applicants must sign and return the certification with their applications.

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

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

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

#### *D. Checklist for a Complete Application*

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

- One original, signed and dated application, plus two copies. Applications for different priority areas are packaged separately;

- Application is from an organization which is eligible under the eligibility requirements defined in the priority area description (screening requirement);
- Application for Federal Assistance (SF 424, REV 4-88);
- Budget Information-Non-Construction Programs (SF 424A, REV 4-88);
- Budget justification for Section B-Budget Categories;
- Table of Contents;
- Letter from the Internal Revenue Service to prove non-profit status, if necessary;
- Copy of the applicant's approved indirect cost rate agreement, if appropriate;
- Project summary description and listing of key words;
- Program Narrative Statement (See Part III, Section C);
- Organizational capability statement, including an organization chart;
- Any appendices/attachments;
- Assurances-Non-Construction Programs (Standard Form 424B, REV 4-88);
- Certification Regarding Lobbying; and
- Certification of Protection of Human Subjects, if necessary;
- Certification Regarding Environmental Tobacco Smoke.

#### *E. The Application Package*

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

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

Dated: June 26, 1996.

Olivia A. Golden,  
*Commissioner, Administration on Children,  
Youth and Families.*

BILLING CODE 4184-01-P

## Appendix A

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier																												
<b>3. DATE RECEIVED BY STATE</b>				State Application Identifier																													
<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>				Federal Identifier																													
<b>5. APPLICANT INFORMATION</b>																																	
Legal Name:			Organizational Unit:																														
Address (give city, county, state, and zip code):			Name and telephone number of the person to be contacted on matters involving this application (give area code)																														
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>			<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> <table style="width: 100%; font-size: small;"> <tr> <td>A. State</td> <td>H. Independent School Dist.</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify) _____</td> </tr> </table>			A. State	H. Independent School Dist.	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify) _____														
A. State	H. Independent School Dist.																																
B. County	I. State Controlled Institution of Higher Learning																																
C. Municipal	J. Private University																																
D. Township	K. Indian Tribe																																
E. Interstate	L. Individual																																
F. Intermunicipal	M. Profit Organization																																
G. Special District	N. Other (Specify) _____																																
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____			<b>9. NAME OF FEDERAL AGENCY:</b>																														
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>			<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>																														
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>																																	
<b>13. PROPOSED PROJECT:</b> <table style="width: 100%; font-size: small;"> <tr> <td style="width: 50%;">Start Date</td> <td style="width: 50%;">Ending Date</td> </tr> </table>		Start Date	Ending Date	<b>14. CONGRESSIONAL DISTRICTS OF:</b> <table style="width: 100%; font-size: small;"> <tr> <td style="width: 50%;">a. Applicant</td> <td style="width: 50%;">b. Project</td> </tr> </table>				a. Applicant	b. Project																								
Start Date	Ending Date																																
a. Applicant	b. Project																																
<b>15. ESTIMATED FUNDING:</b> <table style="width: 100%; font-size: small;"> <tr> <td style="width: 20%;">a. Federal</td> <td style="width: 10%;">\$</td> <td style="width: 10%;"></td> <td style="width: 10%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td></td> <td>.00</td> </tr> </table>		a. Federal	\$		.00	b. Applicant	\$		.00	c. State	\$		.00	d. Local	\$		.00	e. Other	\$		.00	f. Program Income	\$		.00	g. TOTAL	\$		.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
a. Federal	\$		.00																														
b. Applicant	\$		.00																														
c. State	\$		.00																														
d. Local	\$		.00																														
e. Other	\$		.00																														
f. Program Income	\$		.00																														
g. TOTAL	\$		.00																														
<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No																																	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>																																	
a. Typed Name of Authorized Representative			b. Title		c. Telephone number																												
d. Signature of Authorized Representative					e. Date Signed																												

Previous Editions Not Usable

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

**Instructions for the SF 424**

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

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employee Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - “New” means a new assistance award.
  - “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
  - “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9. Name of Federal agency from which assistance is being requested with this application.
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project.
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**BILLING CODE 4184-01-P**

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

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

  

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

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Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102

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

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## BILLING CODE 4184-01-C

## Instructions for the SF-424A

## General Instructions

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

*Section A. Budget Summary*

Lines 1-4, Columns (a) and (b)

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

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

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

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

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter

in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

*Section B. Budget Categories*

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

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

Line 6j—Show the amount of indirect cost.

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

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

*Section C. Non-Federal-Resources*

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

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

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

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

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

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

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

*Section D. Forecasted Cash Needs*

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

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

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

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

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

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

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

*Section F. Other Budget Information*

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

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

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

*Assurances—Non-Construction Programs*

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any

authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific

statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

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

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

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of

Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).

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

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

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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

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

Signature of Authorized Certifying Official

Title \_\_\_\_\_

Applicant Organization \_\_\_\_\_

Date Submitted \_\_\_\_\_

BILLING CODE 4184–01–P

**U.S. Department of Health and Human Services**  
**Certification Regarding Drug-Free Workplace Requirements**  
**Grantees Other Than Individuals**

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

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

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

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

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

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

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

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

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

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

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

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

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

(1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and, (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

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

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

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or, (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments, if needed):

Place of Performance (Street address, City, County, State, ZIP Code) \_\_\_\_\_

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

Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central receipt point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C. 20201.

DGMO Form#2 Revised May 1990

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

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

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

(d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services' (HHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

The prospective primary participant agrees that by submitting this proposal, it will include the clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions" provided below without modification in all lower tier

covered transactions and in all solicitations for lower tier covered transactions.

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

(To Be Supplied to Lower Tier Participants)

By signing and submitting this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

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

### Certification Regarding Lobbying—Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or

employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

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

### State for Loan Guarantee and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form To Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the require statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature \_\_\_\_\_  
Title \_\_\_\_\_  
Organization \_\_\_\_\_  
Date \_\_\_\_\_

BILLING CODE 4184-01-P

**DISCLOSURE OF LOBBYING ACTIVITIES**Approved by OMB  
0348-0046Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____		<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known: _____
<b>6. Federal Department/Agency:</b>  _____	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>  _____	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity</b> <i>(if individual, last name, first name, MI):</i>  _____  (attach Continuation Sheet(s) SF-LLL-A, if necessary)		<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>  _____
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>   (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>		<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL

# Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

## OMB State Single Point of Contact Listing

### Arizona

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315, FAX: (602) 280-1305

### Arkansas

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

### Alabama

Jon C. Strickland, Alabama Department of Economic and Community Affairs, Planning and Economic Development Division, 401 Adams Avenue, Montgomery, Alabama 36103-5690, Telephone: (205) 242-5483, FAX: (205) 242-5515

### California

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

### Delaware

Francine Booth, State Single Point of Contact Executive Department, Thomas Collins Building, P.O. Box 1401, Dover, Delaware 19903, Telephone: (302) 739-3326, FAX: (302) 739-5661

### District of Columbia

Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717

14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone (202) 727-6554, FAX: (202) 727-1617

### Florida

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

### Georgia

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

### Illinois

Barbara Beard, State Single Point of Contact, Department of Commerce and Community Affairs, 620 East Adams, Springfield, Illinois 62701, Telephone (217) 782-1671, FAX: (217) 534-1627

### Indiana

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

### Iowa

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

### Kentucky

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

### Maine

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

### Maryland

William G. Carroll, Manager, State Clearinghouse for Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104, Baltimore, Maryland 21201-2365, Staff Contact: Linda Janey, Telephone (410) 225-4490, FAX: (410) 225-4480

### Michigan

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

### Mississippi

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

### Missouri

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

### Nevada

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

### New Hampshire

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

### New Jersey

Gregory W. Adkins, Assistant Commissioner, New Jersey Department of Community Affairs, Please direct all correspondence and questions about intergovernmental review to: Andrew J. Jaskolka, State Review Process, Intergovernmental Review Unit CN 800, Room 813A, Trenton, New Jersey 08625-0800, Telephone: (609) 292-9025, FAX: (609) 633-2132

### New Mexico

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

### New York

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

### North Carolina

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

### North Dakota

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

### Ohio

Larry Weaver, State Single Point of Contact, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411. Please direct correspondence and questions about intergovernmental review to: Linda Wise, Telephone: (614) 466-0698, FAX: (614) 466-5400

### Rhode Island

Daniel W. Varin, Associate Director, Department of Administration/Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083; Please direct correspondence and questions to: Review Coordinator, Office of Strategic Planning

### South Carolina

Omeagia Burgess, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street—Room 477, Columbia, South Carolina 29201, Telephone: (803) 734-0494, FAX: (803) 734-0385

**Texas**

Tom Adams, Governor's Office, Director,  
Intergovernmental Coordination, P.O. Box  
12428, Austin, Texas 78711, Telephone:  
(512) 463-1771, FAX: (512) 463-1880

**Utah**

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

**Vermont**

Nancy McAvoy, State Single Point of  
Contact, Pavilion Office Building, 109 State  
Street, Montpelier, Vermont 05609,  
Telephone: (802) 828-3326, FAX: (802)  
828-3339

**West Virginia**

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

**Wisconsin**

Martha Kerner, Section Chief, State/Federal  
Relations, Wisconsin Department of  
Administration, 101 East Wilson Street—  
6th Floor, P.O. Box 7868, Madison,  
Wisconsin 53707, Telephone: (608) 266-  
2125, FAX: (608) 267-6931

**Wyoming**

Sheryl Jeffries, State Single Point of Contact,  
Herschler Building 4th Floor, East Wing,  
Cheyenne, Wyoming 82002, Telephone:  
(307) 777-7574, FAX: (307) 638-8967

**Territories****Guam**

Mr. Giovanni T. Sgambelluri, Director,  
Bureau of Budget and Management  
Research, Office of the Governor, P.O. Box  
2950, Agana, Guam 96910, Telephone:  
011-671-472-2285, FAX: 011-671-472-  
2825

**Puerto Rico**

Norma Burgos/Jose E. Caro, Chairwoman/  
Director, Puerto Rico Planning Board,

Federal Proposals Review Office, Minillas  
Government Center, P.O. Box 41119, San  
Juan, Puerto Rico 00940-1119, Telephone:  
(809) 727-4444, (809) 723-6190, FAX:  
(809) 724-3270, (809) 724-3103

**North Mariana Islands**

State Single Point of Contact, Planning and  
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