

# DEPARTMENT OF HEALTH AND HUMAN SERVICES

## Administration for Children and Families

[Program Announcement No. ACYF-PA-CC-9701]

### Announcement of the Availability of Funds and Request for Applications To Carry Out Child Care Research Partnerships

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

**ACTION:** Announcement of the availability of funds and request for applications to carry out Child Care Research Partnerships on child care issues affecting welfare recipients and low-income working families.

**SUMMARY:** This solicitation announces a competition for up to five cooperative agreements to carry out Child Care Research Partnerships. The purpose of this initiative is to increase and strengthen capacity for cross-cutting research on critical child care issues affecting welfare recipients and low-income working families. Each of the partnerships will focus on cross-cutting themes central to the implementation and success of subsidized child care programs under welfare reform, with an emphasis on data from State administrative systems, local child care data sources, and linkage with relevant research or evaluation studies. Each of the partnerships will participate in the Child Care Policy Research Consortium established by the Child Care Bureau. The primary goal of that Consortium is to better understand issues concerning: (1) The child care needs, utilization patterns and outcomes for low-income families, including welfare recipients, those moving from welfare to work, and the working poor; (2) the child care opportunities and constraints which affect low-income families and children under new welfare policies, changing State and local child care systems, and emerging market conditions; and (3) the availability, costs, quality, and other critical features of subsidized child care services.

**DATES:** The closing time and date for receipt of applications is 4:30 p.m. (Eastern Time Zone) on July 7, 1997. Applications received after 4:30 p.m. will be classified as late.

**FOR FURTHER INFORMATION CONTACT:** Dr. Pia Divine, Program Officer, Administration for Children and Families, Child Care Bureau, Room 320F, Hubert Humphrey Building, 200 Independence Avenue, S.W., Washington, DC 20201; Phone: 202-

690-6705; Fax: 202-690-5600; Email: pdivine@acf.dhhs.gov.

#### NOTICE OF INTENT TO SUBMIT APPLICATION:

If you intend to submit an application, please send a post card with the number and title of this announcement, your organization's name and address, and your contact person's name, phone number, fax number, and email address to: Administration on Children, Youth and Families, Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, Virginia 22201, Attn: Child Care Research Partnerships.

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

**SUPPLEMENTARY INFORMATION:** The ACF Application Forms and this Supplementary Information section contain all of the forms and instructions needed to apply for a Child Care Research Partnership. No additional application materials are needed.

The Supplementary Information section consists of six parts. Part I provides general information about the Child Care Research Partnerships, funding requirements, and application procedures. Part II provides background information on ACYF, the Child Care Bureau, and the Child Care Policy Research Consortium. Part III describes goals for the new Partnerships and expectations for collaborative research. Part IV discusses the Project Narrative Statement and outlines additional requirements for applicants in designing their projects. Part V describes the proposal review process, evaluation criteria and selection process. Part VI provides additional instructions for the development and submission of applications. The contents are organized as follows:

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#### Part I. General Information

##### A. Purpose

The purpose of this initiative is to develop and strengthen capacity for cross-cutting research on critical child care issues affecting welfare recipients and low-income working families.

##### B. Citations

##### 1. Sponsorship

Cooperative agreements for research being awarded under this announcement are sponsored by the Child Care Bureau (the Bureau) of the Administration on Children, Youth and Families (ACYF) in the Administration for Children and Families (ACF), U.S. Department of Health and Human Services (DHHS). The projects will be managed by the Bureau.

##### 2. Funding Authority

Funding is being provided by ACF under Section 1110 of the Social Security Act, contingent upon the availability of funds.

##### 3. Catalog of Federal Domestic Assistance

The Catalog of Federal Domestic Assistance Number is 93.647.

##### C. Number of Awards

Up to five projects will be funded in fiscal year 1997 (ending September 30, 1997), subject to the availability of funds and results of the evaluation process.

##### D. Project Duration

The total project period will be 48 months.

##### E. Funding Levels and Budget Periods

Initial awards will be for a one-year budget period. Individual projects will

receive up to \$200,000 for the first budget period of 12 months, with a possibility of up to \$200,000 per year in continuation funding to be awarded in fiscal years 1998, 1999, and 2000. The estimated total Federal funding for a four-year project is \$800,000.

Applications for continuation of cooperative agreements funded under this announcement will be entertained in subsequent years on a non-competitive basis. The award of continuation funding beyond each one-year budget period (but within the four-year project period) will be subject to the availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the government.

#### *F. Non-Federal Share of Project Costs*

A non-Federal match is required. Grantees must provide at least 25 percent of the total approved cost of the project. The non-Federal share may be met by cash or in-kind contributions.

The total approved cost of the project is the sum of the Federal share (75 percent) and the non-Federal share (25 percent). A project which is awarded a total of \$800,000 in Federal funds (based on an award of \$200,000 per 12-month budget period for four years) would have a total approved cost of \$1,066,667 and a non-Federal share of \$266,667.

#### *G. Eligible Applicants*

The application must identify only one partner as the official applicant and lead organization. This partner will receive the award if the project is funded and will be responsible for ensuring that the terms of the cooperative agreement are met. The official applicant must be a public or private non-profit agency or organization and may be either the research group or another partner. Profit-making organizations and non-federally recognized Indian Tribes are *not* eligible to act as the official applicant but may participate as members of the partnership.

Broadly based partnerships are encouraged. At least one member of the Partnership must be a research group affiliated with an accredited university or four-year college. One other member of the Partnership must be a state agency which administers subsidized child care programs for low-income families. In addition, the Partnership

can include a wide variety of relevant organizations including but not limited to: (1) Resource and referral organizations which collect and maintain an ongoing data base of local or statewide information on child care demand and supply; (2) planning councils, commissions, advisory groups, and civic organizations which participate in child care planning and policy making; (3) non-academic research organizations which conduct studies on child care markets, populations, services, policies or other relevant aspects of child care and welfare reform; (4) Tribal, county or local agencies which administer child care subsidy programs; (5) early childhood programs such as public or private child care centers, Head Start and family child care networks; (6) professional organizations and associations; (7) providers of supportive services such as provider training, technical assistance, or consumer education; (8) child care consumer groups and community organizations; (9) foundations and charitable organizations; (10) businesses and business associations; and (11) other appropriate organizations or individuals.

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.

## **Part II. Background and Context**

### *A. The Child Care Bureau*

The Child Care Bureau is that agency within the Federal government with the most far-reaching mandate for child care. Established in 1995 to provide new leadership and consolidate federal responsibilities for subsidized child care programs, the Bureau administers \$2.9 billion in Federal child care dollars annually. The Bureau works closely with States, Territories, Tribes and local communities to develop cost-effective services and delivery systems, promotes

joint ventures with the private sector, and provides information and other assistance to parents. In addition, the Bureau collaborates extensively with other offices throughout the Federal government to promote integrated, family-focused services and coordinated child care delivery systems. In all of these activities, the Bureau seeks to enhance the quality, availability and affordability of child care services, to support children's healthy growth and development in safe child care environments, to enhance parental choice and involvement in their children's care, and to facilitate the linkage of child care with other community services.

The Bureau's central responsibility is administration of the Child Care and Development Fund (CCDF) created by title VI of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Pub. L. 104-193) which became effective October 1, 1996. This legislation consolidates four Federal child care funding streams, allowing States to design comprehensive, integrated service delivery systems to meet the needs of low-income working families. In this new statute, three programs collectively known as "title IV-A" child care were repealed and their funding incorporated under the requirements of the Child Care and Development Block Grant Program (CCDBG) as amended. These three programs included AFDC/JOBS Child Care, Transitional Child Care (TCC), and At-Risk of Welfare Dependency Child Care (ARCC). For ease of reference, the newly consolidated IV-A/CCDBG program is known as the "Child Care and Development Fund" (CCDF). In fiscal year 1997, States will receive more than \$2 billion and Tribes \$59 million in CCDF funds.

In administering the CCDF, the Bureau develops policies, monitors service delivery systems, and provides technical assistance in close cooperation with ten Regional Offices which in turn work directly with States, Territories and Tribes. The Regional Offices are further organized into five regional hubs headquartered in major cities as follows: (1) Regions I, II and III (New York City); (2) Region IV (Atlanta); (3) Regions V and VII (Chicago); (4) Regions VI and VIII (Dallas); and (5) Regions IX and X (San Francisco). The ten Regional Offices and the States they represent are shown in the table below:

Region	Regional office	States represented in region
I .....	Boston .....	Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont.
II .....	New York City .....	New Jersey, New York, Puerto Rico, Virgin Islands.

Region	Regional office	States represented in region
III .....	Philadelphia .....	Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia.
IV .....	Atlanta .....	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee.
V .....	Chicago .....	Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin.
VI .....	Dallas .....	Arkansas, Louisiana, New Mexico, Oklahoma, Texas.
VII .....	Kansas City .....	Iowa, Kansas, Missouri, Nebraska.
VIII .....	Denver .....	Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming.
IX .....	San Francisco .....	Arizona, California, Hawaii, Nevada, Guam, Trust Territory of Pacific Islands, American Samoa.
X .....	Seattle .....	Alaska, Idaho, Oregon, Washington.

### B. Strategic Approach to Research

Although the Bureau is a relatively young organization within the ACYF, it carries on a long tradition of commitment to child care research and collaboration. Since the early 1970's, ACYF has been building a child care research agenda for valid, reliable and comprehensive information that can withstand the test of time, with each new initiative set in place as a building block for a more complex structure of knowledge. Much of contemporary child care policy, practice and ongoing research can be traced to the accumulated knowledge base, research technologies, and long-term trends derived from ACYF research and its contributions to other investigations.

The Bureau bears a major responsibility for assisting with, overseeing, and documenting the implementation of new policies and programs as the responsibility for child care progressively shifts to States, localities, and the private sector. States now have the opportunity to craft programs more directly suited to their citizenry, but are also faced with unprecedented challenges in meeting the needs of low-income, underserved, and other vulnerable populations. Young children are of special concern. The need for and use of child care for children from low-income families can be expected to increase substantially with mounting pressures to move families from welfare to work.

Faced with limited funding, a burgeoning need for child care services, and the need to immediately implement welfare reform, public agencies are under enormous pressure to use their child care dollars as effectively as possible. States and communities face a bewildering array of difficult, complex and costly decisions. Yet, existing data cannot be easily used for planning and policy-making. In addition, there is little detailed understanding of how the child care marketplace operates within the context of changing policies and population dynamics or what outcomes for children and families can be

achieved under new policy constraints and opportunities.

Much needs to be done to help States learn from their own and each other's experiences. What is known, and what can be learned, about labor force attachment coupled with access to child care needs to be examined in the context of child health, safety, and well-being. Sound, research-based information needs to be amassed, developed and fed back to the States, localities, providers and parents. Topical areas for study and meaningful research questions need to be well-articulated from the field. Moreover, in order for child care issues to be understood in differing cultural, socio-economic and geopolitical contexts, there is a need for greater comparability among data systems which attempt to capture information on similar questions and themes.

There is thus a growing consensus about the critical need for more valid, reliable and integrated knowledge to guide the delivery of child care services, inform emerging policy debates, and point the way to more effective solutions of complex child care issues. Because child care issues are complex and affect many facets of family, work and community life, there is a particular need for strong partnerships among the Child Care Bureau and other Federal offices, academic and research communities, State and local program administrators, practitioners, resource and referral agencies, community planners, and consumers. In response to these issues, the Bureau has undertaken a variety of research initiatives and collaborative relationships which highlight the complex and evolving role of child care in contemporary society.

### C. The Child Care Policy Research Consortium

In 1995, the Bureau launched a Child Care Policy Research Consortium focused on three cross-cutting themes: (1) The child care needs, utilization patterns and outcomes for low-income families, including welfare recipients, those moving from welfare to work, and

the working poor; (2) the child care opportunities and constraints which affect low-income families and children under new welfare policies, changing State and local child care systems, and emerging market conditions; and (3) the availability, costs, quality, and other critical features of subsidized child care services. This Consortium is currently composed of three broadly-constituted research partnerships under the leadership of the National Center for Children in Poverty at Columbia University in New York City (working in Illinois and Maryland), the Florida Children's Forum in Tallahassee (working in Alabama, Florida and Massachusetts), and Portland State University (working in Oregon).

### D. Other Partnerships and Initiatives

The Child Care Bureau invests considerable effort in collaboration with other Federal offices and agencies to more broadly address research issues of national importance. Within ACYF, ACF and the Department, key partners include the Head Start Bureau (HSB), the Office of Planning, Research and Evaluation (OPRE), and the DHHS Office of the Assistant Secretary for Planning and Evaluation (ASPE).

Within ACYF, the Bureau works closely with the Head Start Bureau to better understand interrelationships between Head Start and other child care services used by Head Start families as well as to promote a more integrated approach to early childhood policy and research. Key points of linkage include the Head Start Quality Research Consortium and the Early Head Start Evaluation which include samples, variables and measures of significance for child care policies and programs.

The ACF Office of Policy, Research and Evaluation has primary responsibility for the evaluation of State welfare programs. As the Department undertakes required research activities under TANF (Temporary Assistance to Needy Families), the Bureau will collaborate with OPRE in devising research strategies to assess the costs and benefits of subsidized child care

services in achieving the goals of this new legislation and creating performance standards to measure States' success.

The Office of the Assistant Secretary for Planning and Evaluation (ASPE) also sponsors evaluations of welfare policies and child outcomes. The Bureau helps to ensure that child care issues and variables are included in ongoing analyses of existing studies and major new research. The Bureau and ASPE also cooperate in smaller studies of mutual interest, particularly feasibility or pilot research for future studies.

The Bureau also works with other Federal agencies whose research interests expand or enhance those of the Bureau. Two important partners include the DHHS National Institute of Child Health and Development (NICHD) and the Office of Educational Research and Improvement in the Department of Education, both of which are engaged in research with important implications for child care policy and practice.

#### *E. Research Symposia*

The Bureau sponsors a variety of symposia for researchers, administrators and policy makers whose purpose is to consider critical issues and how research might help. This ongoing dialogue asks (1) what are the most pressing policy issues facing child care administrators over the next several years; (2) what data are needed to arrive at informed decisions; and (3) how can the information be obtained without launching large scale new studies? For example, what is the capacity of state child care agencies and resource and referral networks to generate useful information? What types of systems would best meet competing needs for simplicity and comprehensiveness? How can new information systems better satisfy the need for diverse information to track welfare reform in differing policy contexts, for highly targeted data needed to answer specific policy questions, and for comparable state-level information needed for congressional reports?

#### *F. Research Dissemination*

The timely dissemination of research findings is also a high priority for the Bureau. New information and its relevance for families and their providers, for communities, States and Tribes, and for other researchers is featured in a variety of professional publications, conferences and other venues. The Bureau's National Child Care Information Center (NCCIC) operates an adjunct clearinghouse for the Education Research Information Center (ERIC), the nation's largest

repository for child care related research. This partnership will make child care research findings and documents available on-line and easily accessible to child care stakeholders. In addition, the NCCIC highlights research in its nationally distributed Child Care Bulletin.

### **III. New Child Care Research Partnerships**

#### *A. Introduction*

The Bureau anticipates funding up to five new Child Care Research Partnerships by September 30, 1996. It is anticipated that approved Partnerships will receive up to \$800,000 over a total project period of four years, with up to \$200,000 per 12-month budget period. Non-competitive funding each year will be based on the availability of funds, satisfactory progress, and needs of the Bureau.

The purpose of this initiative is to increase and strengthen capacity for cross-cutting research on critical child care issues affecting welfare recipients and low-income working families. The new Partnerships being funded under this announcement represent an important strategy for the Bureau in the ongoing process of helping States and Tribes develop service delivery systems which are more efficient, effective, and responsive to the needs of children and families. Although there is a growing body of knowledge about child care demand and supply, only limited research has been directed to the child care needs, options, and utilization patterns of low-income families. In particular, the Bureau is concerned with the role of subsidized child care as a support to low-income families in achieving and sustaining economic self-sufficiency while rearing their children and balancing the competing demands of work and family life. Equally important is the quality of care that children are receiving and the implications of available options for their development and well-being.

#### *B. Goals, Expectations, and Priorities*

The Bureau's overriding goal in funding new Child Care Research Partnerships is to develop a broader knowledge base and improve the capacity for on-going, data-based information to help resolve critical child care issues. In addressing these concerns, a high priority for the Bureau is to increase dialogue and understanding among researchers, administrators and other Federal and State policy makers in order to make research more relevant for policy.

As members of the Child Care Policy Research Consortium, each of the new Partnerships will be expected to focus in some significant way on three cross-cutting themes considered central to the implementation and success of subsidized child care programs under welfare reform: (1) The child care needs, utilization patterns and outcomes for low-income families, including welfare recipients, those moving from welfare to work, and the working poor; (2) the child care opportunities and constraints which affect low-income families and children under new welfare policies, changing State and local child care systems, and emerging market conditions; and (3) the availability, costs, quality, and other critical features of subsidized child care services. These themes were established by the Bureau in 1995 with formation of the consortium and are reflected in the initiatives being carried out by the three existing Partnerships. Within this context, each new Partnership will be expected to work with other consortium members to contribute to a more complete understanding of child care policy issues, to help translate issues into research questions, and to assist in the analysis of questions as applied to different populations, geographic areas, and policy environments. Priority will be given to Partnerships which address critical policy issues and show strong promise of helping States understand how changing conditions are affecting their child care needs and outcomes.

Another expectation for the Partnerships is to contribute to collaborative planning for improved data systems, linkage with other current studies, and secondary analysis of existing data. It is often possible for teams working cooperatively to produce a more cohesive, conceptually integrated set of studies or approaches than would otherwise be possible. For this reason, researchers are challenged to develop innovative strategies which leverage existing knowledge and resources, and which contribute to more effective, efficient and useful methodologies. For example, subsidized program data, local resource and referral data, and Census data might be analyzed to characterize local and statewide patterns of demand and supply as well as point to possible future trends. Two or more States might produce comparable analyses to better understand child care in inner cities, rural areas, or some other cross-cutting theme. Ongoing studies might also be replicated, expanded, linked, or otherwise utilized in the development of a comprehensive and cohesive

research strategy. Priority will be given to Partnerships which demonstrate the ability to obtain valid, reliable and important data for cost-effective and cross-cutting analyses of complex issues from one or more of the following sources: (1) State administrative data systems; (2) resource and referral networks or other locally-based systems with a capacity for ongoing data collection; (3) data linkages with major studies which are currently underway or about to be launched; and (4) large-scale demographic data bases.

Effective collaboration for child care policy research requires the ability and willingness to (1) establish an effective mode of communication among the network of researchers, administrators and practitioners; (2) establish mutually beneficial relationships within the individual Partnership and with other members of the Child Care Policy Research Consortium; and (3) establish a network of data sources and a dependable cadre of data collectors. Partnerships will be expected to share technical approaches, methods, products, and findings with other researchers, States and communities. Priority will be given to partnerships which demonstrate the ability to launch studies involving multiple partners, including the ability to bring together interdisciplinary specialties linking child care research, public policy, program administration, community planning, business development and other aspects of child care and welfare reform.

In addition to collaboration in the technical aspects of research, an important feature of successful Partnerships is the ability to gain State and local buy-in for studies which support specific policy goals and to elicit financial support for research initiatives which benefit the field more broadly. Although the non-Federal share may be met by cash or in-kind contributions, applicants are encouraged to meet their match requirements through cash contributions. Applicants are also encouraged to develop more extensive funding relationships in order to propose a project of greater importance, scope and complexity than would be possible within the funding levels specified in this announcement. Funding partnerships with foundations, businesses and State or local governments are especially encouraged. As reflected in the evaluation criteria, priority will be given to partnerships which would be supported by multiple funding partners and which demonstrate the ability to obtain significant funding or in-kind

contributions from their partners beyond the required non-Federal match.

#### *C. Cooperative Agreements*

The Child Care Research Partnerships are being funded as cooperative agreements in order to facilitate a high degree of coordination between the projects and to accommodate the flexibility in project design needed to carry out collaborative research. By applying for financial assistance under this announcement, applicants agree to enter into a cooperative agreement with the Child Care Bureau. The general roles of research partners and Federal staff are outlined in the following sections. Specific terms and conditions of each cooperative agreement will be negotiated prior to the award of funds.

##### **1. The Grantee Role**

The grantee is the official applicant to whom a financial assistance award is made and who is responsible for ensuring that terms of the cooperative agreement are met. The grantee is responsible for the performance of subgrantees or subcontractors, and for ensuring that agreements with co-partners are carried out in good faith and to a high level of quality. The grantee is expected to participate and cooperate fully with the Bureau in carrying out the Child Care Research Partnership detailed in the cooperative agreement.

Each of the Partnerships will participate in the Child Care Policy Research Consortium established by the Bureau to: (1) Coordinate and assist the individual Partnerships; (2) help produce a more sophisticated and comprehensive body of research than would be achievable by any project alone; (3) provide a forum for consideration of technical research issues; and (4) assist in developing research strategies to effectively examine complex child care issues.

Each of the Partnerships will participate in two-day meetings of the Consortium to be convened quarterly in Washington, DC. Whenever possible, these meetings will be scheduled to allow members of the Consortium to participate in other conferences and leadership forums, including the Bureau's annual meeting of State Child Care Administrators. In addition, members of the Consortium are invited to serve on panels or make special presentations during national conferences held by various organizations throughout the year.

##### **2. The Federal Role**

The Federal Project Officer (FPO) will work closely with each of the Child Care

Research Partnerships and with the coordinator of the Consortium to share priorities and plans, identify and resolve common issues, and ensure that final plans and products comprehensively address the goals of this announcement. Such involvement may include, but is not limited to: (1) Provision of technical assistance to grantees; (2) consultation on and participation in the formulation of research plans; (3) arrangement of meetings to support research activities; (4) membership in committees and working groups established to facilitate accomplishment of the individual Partnership and Consortium goals; (5) review of major activities and products; and (6) participation in negotiations for revised cooperative agreements to carry out each succeeding phase of the research. The FPO will also participate in meetings of the Consortium as a whole.

#### **Part IV. Project Narrative Statement**

The Project Narrative Statement is that section of the application which provides most of the information on which proposals for Child Care Research Partnerships will be competitively reviewed. The standard set of Program Narrative requirements apply broadly to all ACF program announcements. Specific requirements for Child Care Research Partnerships are detailed below. Applicants should tailor their Project Narrative to these specific requirements.

The Project Narrative should be carefully developed in accordance with the research goals and expectations described in Part III, the proposal preparation requirements described in this Part, and the evaluation criteria and selection factors described in Part V.

The Project Narrative sets forth the technical proposal and describes how it will be carried out. This statement should be organized according to the evaluation criteria contained in Part V as follows: (1) Issues, Objectives and Significance; (2) Technical Approach to Research and Management; and (3) Staff Qualifications, Organizational Capability and Fiscal Resources.

Clarity and conciseness are of utmost importance. The entire Project Narrative Statement (including text, tables, charts, graphs, resumes, corporate statements and appendices) may not exceed 100 pages single-spaced (200 pages double-spaced) with standard one-inch margins and 10-12 point fonts. Excess pages will not be reviewed. (Note: Applicants are asked to print their statement in double-spaced format for ease of review.)

### A. Issues, Objectives, and Significance

In this section, applicants demonstrate their understanding of issues and present the conceptual framework for their proposed research, showing how their partnership would address the Bureau's research objectives and fit into a broader framework for collaborative research made possible by the Consortium. Applicants should discuss the importance of their approach and indicate how their project would address major child care policy issues. This section should also describe how the proposed research would relate to, coordinate with, or build upon other relevant research, particularly that which is currently underway or planned for the near future.

In this section applicants portray their understanding of (1) Critical child care issues affecting low-income families and the challenges they face; (2) the complex interrelationships among major variables affecting child care supply and demand; (3) the significance of these issues and variables for child care policies and programs; (4) how the proposed research fits into a broader theoretical or conceptual framework for child care and welfare reform; (5) how the proposed project would help improve the state-of-the-art in policy research and applied methodologies; and (6) how the project would benefit various stakeholders in the field.

Applicants are expected to demonstrate a command of the policy and research literature in child care and welfare reform, as well as emerging issues of major concern. The proposal is expected to demonstrate understanding of current welfare and child care policies and programs, to show how the proposed research would further such understanding, and to suggest practical applications which might be derived from the findings. Applicants should clearly show how their proposed research will build on the current knowledge base and contribute to policy, practice and future research.

In their review of the literature, applicants are asked to consider the significance, reliability, and validity of existing data pertaining to important policy questions. In addition, applicants should identify important gaps in the literature and areas in which findings are contradictory or ambiguous. It will also be important to consider what demographic, economic, and social data are available as a context for child care research. Applicants should describe how data from the Census Bureau, Bureau of Labor Statistics, and other statistical organizations could be used to help profile market parameters and

trends. If especially important data bases from completed child care studies are identified, applicants are asked to suggest ways in which such data could be used. A bibliography of relevant references must be supplied.

### B. Technical Approach to Research and Management

The Technical Approach section details a specific research design and implementation plan. This section should address two broad areas: (1) The proposed research methodology; and (2) management, coordination, and quality control at each stage of the research process.

#### 1. Research Design

The methodological discussion must include technical details of the proposed research design, including (a) the applicant's conceptual framework showing research objectives, hypotheses, and variables; (b) data sources, sampling plans and data collection strategies; (c) data processing and statistical analysis; and (d) product development and dissemination. As part of the design section, applicants should discuss the strengths and limitations of all proposed approaches and techniques. Applicants are also asked to lay out a flow chart or table showing interrelationships among the proposed research issues, questions, variables, and data elements. Applicants should also discuss how the proposed methodology might reasonably fit into a broader research scheme carried out at the Consortium level and what design flexibility would exist for coordination with other approaches.

a. *Conceptual Framework and Research Variables.* Present the conceptual framework that will guide other aspects of the research design, including (1) areas of inquiry to be explored; (2) specific research questions and hypotheses; and (3) research variables and constructs. This discussion should flow out of the earlier discussion of Issues, Objectives and Significance and lead into the design elements that follow.

b. *Data Sources, Sampling and Data Collection.* Include a plan for obtaining an appropriate sample and collecting the data needed to achieve objectives of the proposed research.

- If data would be compiled from service delivery records of State or local agencies, from resource and referral files, from records maintained by child care facilities, or from other primary data sources, describe the nature of the data and how they would be accessed, what sampling procedure would be employed and how confidentiality of

individual records would be maintained.

- If secondary analyses would be conducted on completed data sets, describe the appropriateness and limitations of the original research for this study. Describe the nature, scope and representativeness of the original sample and characteristics of the data (including data quality).

- If the proposed project would involve linkage with ongoing research, describe the ongoing research design and stage of progress, how the applicant's proposed study would benefit from and contribute to it, how the technical aspects of the linkage would be structured and carried out, and how the linked studies would address the goals of this announcement. Include a letter of cooperation from the individual/organization conducting the research which details the status of the data collection, procedures to ensure data quality, timeliness of data availability and applicant access.

- If new data are to be collected on human subjects in conjunction with another ongoing study (e.g., adding a new sample or an additional measure), describe the characteristics of the target population and provide a rationale for any sample stratification based on personal characteristics of individuals (such as ethnicity, income, marital status, age of child, etc.). Describe data collection procedures and safeguards for data quality. Discuss procedures to protect human subjects, to maintain confidentiality of data, and to obtain consent for participation (if applicable).

c. *Data Processing and Statistical Analysis.* Include a detailed plan for the processing and analysis of data from all sources which illustrates how the analyses will meet the goals of this research. Discuss the procedures which would be used to clean data, ensure data quality, and prepare data tapes. Discuss plans for the analysis of data, including units of analysis, analytic techniques to be used with various types of data, statistical considerations, and the linkage of data sets.

d. *Product Development and Information Dissemination.* Include a product development and information dissemination plan which describes the products to be generated during the course of this research (such as technical papers or reports, summaries, briefings, conference presentations, doctoral dissertations, journal articles, applications software and public use data tapes, and the final report). Describe the audiences for various products and the dissemination strategies that would be employed. Discuss which products which might be

collaboratively developed or disseminated to effectively reach intended audiences.

## 2. Implementation Plan

The Technical Approach section must contain a sound and workable plan of action which describes how the proposed project would be carried out. This section should detail how the project would be structured and managed, how roles and functions would be coordinated, how the timeliness of activities would be ensured, how quality control would be maintained, and how costs would be controlled. Applicants should discuss their management of the project as a whole, and the management and coordinating roles of their partners.

- Describe the strengths of the Partnership as an effective entity for carrying out the proposed project.

- Provide a diagram showing the organizational structure of the partnership and the functional relationships among partners.

- Describe how the project would be managed by the lead organization to ensure that members of the partnership operate as a cohesive research team and that cross-cutting goals of the project are carried out efficiently and cost-effectively;

- Describe how participating organizations would coordinate their management of project tasks and other functions.

- Describe how members of the partnership would be represented in management committees, technical work groups, advisory panels, and other coordinating bodies.

- Lay out the major tasks to illustrate the sequence and timing of tasks, time commitments of staff, important milestones, reports, and completion dates.

- Discuss potential problems or difficulties with the proposed management approach, including factors which might affect the quality of the research or its outcomes, factors which might undermine the ability of partners to collaborate effectively, and factors which might hinder the early sharing, review and dissemination of information.

## C. Staff Qualifications, Organizational Capability, and Fiscal Resources

In this section, applicants must provide evidence that they and their partners have the experience, expertise and resources to carry out the proposed project on time, within budget, and with a high degree of quality.

## 1. Staff Qualifications

- Identify all key staff positions for this project, the professional requirements for each, the proportion of time to be committed to the project, the period of time for which staff holding these positions would be employed, and whether their continued employment would be dependent solely on the funds to be awarded under this announcement.

- Provide evidence that individuals proposed for key positions have the necessary technical skill and experience to successfully carry out their assigned roles. Where key positions are currently vacant, include a position description outlining the qualifications necessary to carry out the duties and responsibilities of each.

- Identify the authors of the proposal and describe their continuing role in the project if funded.

- Describe how an appropriate data collection team would be assembled, what expertise would be represented, and how individuals would be selected.

- Identify all proposed consultants or advisors, document their expertise, and describe how their services will be utilized. Include letters of commitment or intent if possible.

## 2. Organizational Capability

- Provide evidence that all partners have the ability, willingness and flexibility to collaborate effectively with one another in carrying out the proposed project, and that the partnership as a whole could effectively participate in the Consortium. Include examples of past or current partnerships which demonstrate the ability to carry out collaborative research.

- Provide evidence of sufficient organizational resources within the lead organization to ensure successful project management, compliance with terms and conditions of the cooperative agreement, and oversight of the proper use of Federal funds. Provide evidence of the lead organization's capacity to coordinate the activities of research partners, resolve collaboration issues arising during the course of the research, and provide the leadership needed for a complex and evolving project.

- Describe how each partner was included in the planning of the project. Include letters of specific commitment or support from each partner. Describe all cooperative agreements, subcontracts and other formal relationships within the partnership. Partners who will provide access to data or records must provide a letter stipulating the terms of their agreement with the researchers.

Describe the future commitment each partner will make to ensure success of the collaboration as it evolves.

- Include a separate two-page organizational capability statement for each partner which documents the partner's ability to carry out its assigned roles and functions.

- Describe the relationship between this project and other relevant work planned, anticipated or underway by the applicant or its partners. Include funding sources for work in progress.

- Provide a list of research and financial partners including the name and address of each organization, the names of its director and primary contact for this proposal, and the telephone, fax and internet numbers of each.

## 3. Fiscal Resources

Present a detailed budget to demonstrate that the partnership would have adequate resources to carry out the work on time and with a high degree of quality.

- Include a detailed budget narrative which describes and justifies line item expenses within the budget categories listed on the Standard Form 424. (Line item allocations and justification are required for both Federal and matching funds). If project funds would be subcontracted, a detailed budget for the use of those funds must be included.

- Describe the extent of financial participation from all sources. Describe the extent to which funds, staff time, in-kind services, and other resources have been committed to the research effort during the planning period. Describe what other resources are expected to help support the proposed research, including existing commitments and negotiations in progress. Discuss what commitments are expected of financial partners in the second, third and fourth years. Describe anticipated efforts to obtain other funding partners throughout the project.

## Part V. Evaluation and Selection

### A. The Review Process

#### 1. Screening

Each application will be screened to determine whether the applicant organization is eligible as specified in Part I, section G, above. Applications from ineligible organizations will be excluded from the review. In addition, inadequate preparation, omission of essential components, or failure to comply with format specifications as described in Part VI will result in the application being withdrawn from further consideration and the applicant so informed.

## 2. Competitive Review

Eligible applications will be scored competitively against the published evaluation criteria described below. The review will be conducted in Washington, D.C. Expert reviewers will include researchers, Federal or State staff, child care administrators and/or other individuals experienced in the study of child care demand and supply, child care delivery systems, welfare and supportive services, early child development and education, parental choice and involvement, and other relevant areas.

A panel of at least three reviewers will evaluate each application to determine the strengths and weaknesses of the proposal in terms of the Bureau's research goals and expectations as discussed in Part III, requirements for the Project Narrative Statement described in Part IV, and the evaluation criteria listed in Part V, Section B below. Panelists will provide written comments and assign numerical scores for each application. The indicated point value for each criterion is the maximum numerical score for that criterion. The assigned scores for each criterion will be summed to yield a total evaluation score for the proposal.

In addition to the panel review, the Bureau may solicit comments from other Federal offices and agencies, from the States, from relevant non-governmental organizations, and from individuals whose particular expertise is identified as necessary for the consideration of technical issues arising during the review. Their comments, along with those of the panelists, will be considered by the Bureau in making funding decisions. The Bureau will also take into account the best combination of proposed projects to meet overall research goals.

### B. Evaluation Criteria

The criteria listed below will be used in conjunction with other expectations, priorities and requirements set forth in Parts III and IV above to evaluate how well each proposal addresses the goals of this announcement.

#### 1. Significance, Issues, and Objectives (Maximum of 25 Points)

- The extent to which the application reflects a solid understanding of critical issues, information needs, and research goals.
- The extent to which the conceptual model, research issues, objectives and hypotheses are significant, well-formulated and appropriately linked.
- The extent to which the collaborative framework is appropriate,

feasible, and would significantly contribute to the importance, comprehensiveness, and quality of the proposed research.

- The effectiveness with which the application articulates the current state of knowledge relative to issues being addressed, including: (1) Critical child care issues and the complex interrelationships among major variables; (2) the significance of these issues and variables for child care policies and programs; (3) how current knowledge would be brought to bear on the proposed research; and (4) how the research would benefit various audiences.

#### 2. Technical Approach (Maximum of 50 Points)

- The extent to which the applicant's proposed Research Design: (1) Appropriately links critical research issues, questions, variables, data sources, samples, and analyses; (2) employs technically sound and appropriate approaches, design elements and procedures; (3) reflects sensitivity to technical, logistical, cultural and ethical issues that may arise; (4) includes realistic strategies for the resolution of difficulties; (5) adequately protects human subjects, confidentiality of data, and consent procedures, as appropriate; (6) includes an effective plan for the dissemination and utilization of information by researchers, policy-makers, and practitioners in the field; and (7) effectively utilizes collaborative strategies.

- The extent to which the Implementation Plan: (1) Presents a sound, workable and cohesive plan of action demonstrating how the work would be carried out on time, within budget and with a high degree of quality; (2) includes a reasonable schedule of target dates and accomplishments; (3) presents a sound administrative framework for maintaining quality control over the implementation and ongoing operations of the study; (4) presents a sound plan for coordination of activities carried out by partners and demonstrates an effective approach to team-building, including project staff, consultants and advisors, and other members of the Consortium; and (5) demonstrates the ability to gain access to necessary organizations, subjects, and data.

#### 3. Staff Qualifications, Organizational Capability, and Fiscal Resources (Maximum of 25 Points)

- The extent to which the applicant (1) Proposes key staff, consultants, data collectors and other necessary personnel

with demonstrated competence in areas addressed by the proposed research, including relevant background, experience, training and work on related research or similar projects; and (2) would provide adequate staffing for research design, sampling, field work, data processing, statistical analysis, reporting and information dissemination, and participation in the Consortium.

- The extent to which the application demonstrates that: (1) The partnership is well structured, with important and relevant roles for participating organizations; (2) partners are appropriate and significantly committed to research goals; (3) the partners have the ability to carry out collaborative research, both within the proposed Partnership and as a member of the larger Consortium; (4) the partners will contribute adequate organizational resources; and (5) the partnership has significant fiscal commitment and support.

- The extent to which the application demonstrates that (1) Facilities and organizational experience of all partners are adequate to carry out the tasks of the proposed project; (2) the lead organization can effectively and efficiently administer a project of the proposed size, complexity and scope; (3) the applicant has the capacity to coordinate activities with other organizations for the successful accomplishment of project objectives; and (4) research partners have the capacity to carry out their proposed functions and roles.

- The extent to which (1) Proposed project costs are reasonable, the funds are appropriately allocated across component areas, and the budget is sufficient to accomplish the objectives; and (2) non-Federal matching funds beyond the level required in this announcement would be contributed by the Partnership (as discussed in Section III.B.).

### C. The Selection Process

The Acting Commissioner, Administration on Children, Youth and Families, will make the final selection of the applicants to be funded. Applications may be funded in whole or in part depending on: (1) The rank order of applicants resulting from the competitive review; (2) staff review and consultations; (3) the combination of projects which best meets the Bureau's research objectives; (4) the funds available; and (5) other relevant considerations.

Selected applicants will be notified through the issuance of a Financial Assistance Award which sets forth the

amount of funds granted, the terms and conditions of the cooperative agreement, the effective date of the award, the budget period for which support is given, and the total project period for which support is provided.

#### *D. Funding Date*

It is anticipated that successful applications will be funded by September 30, 1997.

### **Part VI. Development and Submission of Applications**

This Part contains additional information and instructions for submitting applications in response to this announcement. Applicants should read this Part carefully in conjunction with other information and proposal requirements contained within this announcement.

#### *A. State Single Point of Contact*

This program is covered under Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Program and Activities." Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

All States and Territories except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington, American Samoa and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applicants from these twenty one jurisdictions need take no action regarding E.O. 12372. Applicants for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline to

comment on proposed new or competing continuation awards.

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

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

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

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

#### *B. Paperwork Reduction Act of 1995*

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

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

##### *1. Deadline*

Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447, Attention: Application for Child Care Research Partnerships, CCRP-9701. 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 a.m. and 4:30 p.m., at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, S.W., Washington, D.C. 20024,

between Monday and Friday (excluding weekends and Federal holidays). Any application received after 4:30 p.m. on the deadline date will not be considered for competition. Applicants using express/overnight services should allow for two working days prior to the deadline date for receipt of applications. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

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

##### *2. Late Applications*

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

##### *3. Extension of Deadlines*

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

#### *D. Preparing the Application and Completing Forms*

Applicants should closely tailor their applications to the specific requirements of this announcement. Previous experience has shown that an application which is broader and more general in concept than outlined in the agency's request for proposals is less likely to score as well as one which is more clearly focused on and directly responsive to the concerns and objectives outlined in the announcement.

##### *1. Front Matter*

Applications must have a cover letter followed by the Table of Contents and Project Abstract (Executive Summary).

The Project Abstract should be a short, concise, and accurate portrayal of the proposed project. This summary, together with the information on the SF 424 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. It should provide a snapshot of the project objectives, the approaches to be used, and the outcomes expected. The summary should also include a list of major products that would result from the

proposed project, such as research reports, public summaries, data tapes, and technical papers.

The summary should be clearly marked with the applicant's name as shown in item 5 of the SF 424, the announcement number and title, and the title of the project as shown in item 11 of the SF 424. 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. Key words should be selected from commonly used research and policy terminology.

## 2. Standard Forms

Applicants for Child Care Research Partnerships should fill out SFs 424, 424A, and 424B, all of which have been reprinted for your convenience in preparing the application. You should reproduce single-sided copies of these forms from the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page. Make single-sided copies and use them.

## 3. Project Narrative Statement

The Project Narrative Statement should be clear, concise, and address the specific expectations and requirements described in Parts III and IV. The narrative should also provide information concerning how the application meets the evaluation criteria described in Part V. Inclusion and discussion of the evaluation criteria is important since the reviewers will rate the application against the evaluation criteria. Applicants should use the following section headings:

- (a) *Significance, Issues, and Objectives;*
- (b) *Technical Approach to Research and Project Management;* and
- (c) *Staff Qualifications, Organizational Capacity and Fiscal Resources.*

The specific information to be included under each of these headings is described in Part IV, Project Narrative, and Part V, Section B, Evaluation Criteria.

The narrative should be double-spaced and single-sided on 8½"×11" plain white paper, with 1" margins on all sides. Use 10 or 12 pitch throughout the proposal. All pages of the narrative (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered, beginning with "Significance, Issues, and Objectives" as

page number one. Applicants should not submit reproductions of larger sized paper reduced to meet the size requirement. Applicants should not send pamphlets, brochures, or other printed material along with their applications, as these items pose copying difficulties. These materials, if submitted, will not be included in the review process, although they will be kept on file.

The clarity and conciseness of proposals are of the utmost importance. The entire Project Narrative Statement (including text, tables, charts, graphs, resumes, tables, maps, exhibits, references, footnotes, and appendices) may not exceed 100 pages single-spaced (200 pages double-spaced). Excess pages will not be reviewed. (Note: Applicants are asked to print their statement in double-spaced format for ease of review.)

## 4. Certification, Disclosure, and Assurance

Applicants must provide all applicable certifications, disclosures and assurances included in the ACF Uniform Discretionary Grant Application Form.

## 5. End Matter

All supporting materials, such as resumes, letters of support, and other documents should be organized into appropriate appendices and securely bound into the application package. Applicants are reminded that the total page limitation applies to both narrative text and supporting materials.

## E. Checklist for a Complete Application

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

- \_\_\_ One original, signed and dated application, plus two copies.
- \_\_\_ Application is from an organization which is eligible under the eligibility requirements defined in Part I (screening requirement).

A complete application consists of the following items in this order:

- \_\_\_ Cover Sheet
- \_\_\_ Project Abstract (Executive Summary)
- \_\_\_ Table of Contents

## Standard Forms

- \_\_\_ (SF 424, REV 4-92); a completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424 (if applicable).
- \_\_\_ Budget Information—Non-Construction Programs (SF 424A, REV 4-92);
- \_\_\_ Budget justification for Section B—Budget Categories;

- \_\_\_ 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 Narrative Statement organized by Evaluation Criteria

## Certification, Assurance and Disclosure

- \_\_\_ Assurances—Non-Construction Programs (Standard Form 424B, REV 4-92);
- \_\_\_ Certification Regarding Lobbying;
- \_\_\_ Certification Regarding Drug-Free Workplace Requirements;
- \_\_\_ Certification Regarding Debarment and Other Responsibilities;
- \_\_\_ Certification Regarding Environmental Tobacco Smoke; and
- \_\_\_ Certification of Protection of Human Subjects, if necessary.
- \_\_\_ End Matter (appendices, resumes, letters of support, etc.)

Each copy of the application should be stapled securely (front and back if necessary) in the upper left-hand corner. Because each application will be duplicated, do not use or include separate covers, binders, clips, tabs, plastic inserts, brochures, videos, or any other items that cannot be photocopied.

## F. Notification

All applicants will be notified automatically about the receipt of their application and of the four digit identification number assigned to the application. This number and the priority area must be referred to in all subsequent communication with the Child Care Bureau, ACYF, or ACF concerning the application. If you do not receive acknowledgment of your application within eight weeks after the deadline date, please notify the ACYF Operations Center by telephone at 1-800-351-2293.

Dated: May 1, 1997.

**James A. Harrell,**

*Acting Commissioner, Administration on Children, Youth and Families.*

BILLING CODE 4184-01-P

## Appendix A—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) 280-8144

### Arkansas

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

### California

- Grants Coordinator, Office of Planning & Research, 1400 Tenth Street, Room 121, Sacramento, California 95814, Telephone: (916) 323-7480, FAX: (916) 323-3018
- Delaware**  
Francine Booth, State Single Point of Contact Executive Department, Thomas Collins Building, P.O. Box 1401, Dover, Delaware 19903, Telephone: (302) 739-3326, FAX: (302) 739-5661
- District of Columbia**  
Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717 14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone: (202) 727-6554, FAX: (202) 727-1617
- Florida**  
Florida State Clearinghouse, Department of Community Affairs, 2740 Centerview Drive, Tallahassee, Florida 32399-2100, Telephone: (904) 922-5438, FAX: (904) 487-2899
- Georgia**  
Tom L. Reid, III, Administrator, Georgia State Clearinghouse, 254 Washington Street, S.W.—Room 401J, Atlanta, Georgia 30334, Telephone: (404) 656-3855 or (404) 656-3829, FAX: (404) 656-7938
- Illinois**  
Virginia Bova, State Single Point of Contact, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, FAX: (312) 814-1800
- Indiana**  
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, FA (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, FAX: (313) 961-4869
- Mississippi**  
Cathy Malette, Clearinghouse Officer, Department of Finance and Administration, 455 North Lamar Street, Jackson, Mississippi 39202-3087, Telephone: (601) 359-6762, FAX: (601) 359-6764
- Missouri**  
Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Room 760, Truman Building, Jefferson City, Missouri 65102, Telephone: (314) 751-4834, FAX: (314) 751-7819
- Nevada**  
Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone: (702) 687-4065, FAX: (702) 687-3983
- New Hampshire**  
Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review Process, Mike Blake, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone: (603) 271-2155, FAX: (603) 271-1728
- New Mexico**  
Robert Peters, State Budget Division, Room 190, Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone: (505) 827-3640
- New York**  
New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone: (518) 474-1605
- 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) 244-2094, 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, Governors Office, Director, Intergovernmental Coordination, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 463-1771, FAX: (512) 463-1888
- Utah**  
Carolyn Wright, Utah State Clearinghouse, Office of Planning and Budget, Room 116, State Capitol, Salt Lake City, Utah 84114, Telephone: (801) 538-1535, FAX: (801) 538-1547
- West Virginia**  
Fred Cutlip, Director, Community Development Division, W. Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone: (304) 558-4010, FAX: (304) 558-3248
- Wisconsin**  
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, Office of the Governor, State Capital, Room 124, Cheyenne, Wyoming 82002, Telephone: (307) 777-5930, FAX: (307) 632-3909
- Territories**
- Guam**  
Mr. Giovanni T. Sgambelluri, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agana, Guam 96910, Telephone: 011-671-472-2285, FAX: 011-671-472-2825
- Puerto Rico**  
Norma Burgos/Jose E. Caro, Chairwoman/Director, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (809) 727-4444 or (809) 723-6190, FAX: (809) 724-3270 or (809) 724-3103
- North Mariana Islands**  
Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP, Telephone: (670) 664-2256, FAX: (670) 664-2272
- Contact Person: Ms. Jacoba T. Seman, Federal Programs Coordinator, Telephone: (670) 644-2289, FAX: (670) 644-2272
- Virgin Islands**  
Jose George, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802
- Please direct all questions and correspondence about intergovernmental review to: Linda Clarke, Telephone: (809) 774-0750, FAX: (809) 776-0069

#### Appendix B—Program Narrative

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

requirements and any additional guidelines for preparing the program narrative statement. The following are general guidelines for preparing a program narrative statement.

The program narrative provides a major means by which the application is evaluated and ranked to compete with other applications for available assistance. It should be concise and complete and should address the activity for which Federal funds are requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other information considered to be relevant. Awarding offices use this and other information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources directly related to the proposed project from those which will not be used in support of the specific project for which funds are requested.

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

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

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

#### A. Project Description—Components

##### 1. Project Summary/Abstract

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

##### 2. Objectives and Need for Assistance

Applicants must clearly identify the physical, economic, social, financial, institutional, or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation such as letters of support and testimonials from concerned interests other than the applicant may be included. Any relevant data based on planning studies should be included or referenced in the endnotes/footnotes. Incorporate demographic data and

participant/beneficiary information, as needed. In developing the narrative, the applicant may volunteer or be requested to provide information on the total range of projects currently conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

##### 3. Results or Benefits Expected

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

##### 4. Approach

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

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

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

##### 5. Evaluation

Provide a narrative addressing how you will evaluate (1) the results of your project and (2) the conduct of your program. In addressing the evaluation of results, state how you will determine the extent to which the program has achieved its stated objectives and the extent to which the accomplishment of objectives can be attributed to the program. Discuss the criteria to be used to evaluate results; explain the methodology that will be used to determine if the needs identified and discussed are being met and if the project results and benefits are being achieved. With respect to the conduct of your program, define the procedures you will employ to determine whether the program is being conducted in a manner consistent with the work plan you presented and discuss the impact of the program's various activities upon the program's effectiveness.

##### 6. Geographic Location

Give the precise location of the project and boundaries of the area to be served by the proposed project. Maps or other graphic aids may be attached.

##### 7. Additional Information (include if Applicable)

Additional information may be provided in the body of the program narrative or in the appendix. Refer to the program announcement and "General Information and Instructions" for guidance on placement of application materials.

**Staff and Position Data**—Provide a biographical sketch for key personnel appointed and a job description for each vacant key position. Some programs require both for all positions. Refer to the program announcement for guidance on presenting this information. Generally, a biographical sketch is required of original staff and new members as appointed.

**Plan for Project Continuation Beyond Grant Support**—A plan for securing resources and continuing project activities after Federal assistance has ceased.

**Business Plan**—When federal grant funds will be used to make an equity investment, provide a business plan. Refer to the program announcement for guidance on presenting this information.

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

**Dissemination Plan**—A plan for distributing reports and other project outputs to colleagues and the public. Applicants must provide a description of the kind, volume and timing of distribution.

**Third-Party Agreements**—Written agreements between grantees and subgrantees or subcontractors or other cooperating entities. These agreements may detail scope of work, work schedules, remuneration, and other terms and conditions that structure or define the relationship.

**Waiver Request**—A statement of program requirements for which waivers will be needed to permit the proposed project to be conducted.

**Letters of Support**—Statements from community, public and commercial leaders which support the project proposed for funding.

### B. Noncompeting Continuation Applications

A program narrative usually will not be required for noncompeting continuation applications for nonconstruction programs. Noncompeting continuation applications shall be abbreviated unless the ACF Program Office administering this program has issued a notice to the grantee that a full application will be required.

An abbreviated application consists of:

1. The Standard Form 424 series (SF-424, SF-424A, SF-424B)
2. The estimated or actual unobligated balance remaining from the previous budget period should be identified on an accurate SF-269 as well as in Section A, Columns (c) and (d) of the SF-424A.
3. The grant budget, broken down into the object class categories on the 424A, and if category "other" is used, the specific items supported must be identified.
4. Required certifications.

A full application consists of all elements required for an abbreviated application plus:

1. Program narrative information explaining significant changes to the original program narrative statement, a description of accomplishments from the prior budget period, a projection of accomplishments throughout the entire remaining project period, and any other supplemental information that ACF informs the grantee is necessary.
2. A full budget proposal for the budget period under consideration with a full cost analysis of all budget categories.
3. A corrective action plan, if requested by ACF, to address organizational performance weaknesses.

### C. Supplemental Requests

For supplemental assistance requests, explain the reason for the request and justify the need for additional funding. Provide a budget and budget justification *only* for those items for which additional funds are requested. (See Item D for guidelines on preparing a budget and budget justification.)

### D. Budget and Budget Justification

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification which describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocability of the proposed costs.

The following guidelines are for preparing the budget and budget justification. Both federal and non-federal resources should be detailed and justified in the budget and narrative justification. For purposes of preparing the program narrative, "federal resources" refers only to the ACF grant for which you are applying. Non-Federal

resources are all other federal and non-federal resources. It is suggested that for the budget, applicants use a column format: Column 1, object class categories; Column 2, federal budget amounts; Column 3, non-federal budget amounts, and Column 4, total amounts. The budget justification should be a narrative.

**Personnel.** Costs of employee salaries and wages.

**Justification:** Identify the project director or principal investigator, if known. For each staff person, show name/title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include costs of consultants or personnel costs of delegate agencies or of specific projects(s) or businesses to be financed by the applicant.

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

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

**Travel.** Costs of project related travel by employees of the applicant organization (does not include costs of consultant travel).

**Justification:** For each trip, show the total number of traveler(s), travel destination, duration of trip, per diem, mileage allowances, if privately owned vehicles will be used, and other transportation costs and subsistence allowances. Travel costs for key staff to attend ACF sponsored workshops as specified in this program announcement should be detailed in the budget.

**Equipment.** Costs of all non-expendable, tangible personal property to be acquired by the project where each article has a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the applicant organization for financial statement purposes, or (b) \$5000.

**Justification:** For each type of equipment requested, provide a description of the equipment, cost per unit, number of units, total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends.

**Supplies.** Costs of all tangible personal property (supplies) other than that included under the Equipment category.

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

**Contractual.** Costs of all contracts for services and goods except for those which belong under other categories such as equipment, supplies, construction, etc. Third-party evaluation contracts (if applicable) and contracts with secondary recipient organizations including delegate agencies and specific project(s) or businesses to be financed by the applicant should be included under this category.

**Justification:** All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. If procurement competitions were held or if a sole source procurement is being proposed, attach a list

of proposed contractors, indicating the names of the organizations, the purposes of the contracts, the estimated dollar amounts, and the award selection process. Also provide back-up documentation where necessary to support selection process.

**Note:** Whenever the applicant/grantee intends to delegate part of the program to another agency, the applicant/grantee must provide a detailed budget and budget narrative for each delegate agency by agency title, along with the required supporting information referenced in these instructions.

Applicants must identify and justify any anticipated procurement that is expected to exceed the simplified purchase threshold (currently set at \$100,000) and to be awarded without competition. Recipients are required to make available to ACF pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, etc. under the conditions identified at 45 CFR Part 74.44(e).

**Construction.** Costs of construction by applicant or contractor.

**Justification:** Provide detailed budget and narrative in accordance with instructions for other objects class categories. Identify which construction activity/costs will be contractual and which will be assumed by the applicant.

**Other.** Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to insurance, food medical and dental costs (noncontractual), fees and travel paid directly to individual consultants, space and equipment rentals, printing and publication, computer use, training costs, including tuition and stipends, training service costs including wage payments to individuals and supportive service payments, and staff development costs.

**Indirect Charges.** Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services or another cognizant Federal agency.

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

a rate which is less than what is allowed under this program announcement, the authorized representative of your organization needs to submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

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

**Justification:** Describe the nature, source and anticipated use of program income in the budget or reference pages in the program narrative statement which contain this information.

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

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

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

**BILLING CODE 4184-01-P**

## Appendix C

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <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: 150px; 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> TITLE:		<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 ONLY 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																													

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

**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 Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - “New” means a new assistance award.
  - “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
  - “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

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

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

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

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

13. Self-explanatory.

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

15. Amount requested or to be contributed during the first funding/budget period by

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

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

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

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

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Standard Form 424A (4-88)  
Prescribed by GSA Circular 6100

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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**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).

Lines 1–4, Columns (c) through (g.)  
(continued)

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 Column (e) the amount of the increase or decrease Federal funds and enter in Column (f) the amount the increase or decrease of non-Federal funds. 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*

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

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

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

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

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

Column (e)—Enter totals 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 on Line 5, Column (f), Section A.

*Section D. Forecasted Cash Needs*

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

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

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

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

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

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

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

*Section F. Other Budget Information*

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

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

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

**Assurances—Non-Construction Programs**

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

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

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

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers,

or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

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

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

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

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application of 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 (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93–205).

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

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1996, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a–1 et seq.).

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

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

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

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

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

Signature of Authorized Certifying Official  
Applicant Organization  
Title

Date Submitted

#### Appendix D—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 impose 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

Approved by OMT  
0348-0046

<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> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services (including address if different from No. 10a)</b> (last name, first name, MI):	
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<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

**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 taken 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

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

### Instructions for Certification

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

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

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

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

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

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

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

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

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

\* \* \* \* \*

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

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

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

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

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

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

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

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

### Instructions for Certification

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

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

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

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

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

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

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

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

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

\* \* \* \* \*

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

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

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

**Appendix G—Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used

routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

BILLING CODE 4184-01-M

## Appendix H

OMB No. 9999-0020

OMB No. 0925-0418

Approved for use through 12/31/97

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

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

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

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

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

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

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

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

8. Comments

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

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