

Instrument	Number of respondents	Number of responses per respondent	Average burden hours per response	Total burden hours
Application Form ..... Estimated Total Annual Burden Hours: 16,688.	4,127	1	4	16,688

In compliance with the requirements of section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, the Administration for Children and Families is soliciting public comment on the specific aspects of the information collection described above. Copies of the proposed collection of information can be obtained and comments can be forwarded by FAX to (202) 260-3305 or by writing to The Administration for Children and Families, Office of Information Services, Division of Information Resource Management Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447, Attn: ACF Reports Clearance Officer. All requests should be identified by title of the information collection.

Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden of the proposed collection of information; (c) ways to enhance the quality, utility and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted within 60 days of this publication.

Dated: May 7, 1997.

**Bob Sargis,**

*Acting Reports Clearance Officer.*

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BILLING CODE 4184-01-M

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

[Program Announcement No. ACYF-HS-97-06]

#### Availability of Financial Assistance To Expand Head Start Enrollment

**AGENCY:** Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF), HHS.

**ACTION:** Announcement of financial assistance to expand Head Start enrollment.

**SUMMARY:** The Head Start Bureau of the Administration on Children, Youth and Families announces that competing applications will be accepted to establish new Head Start services in geographical areas not currently served by Head Start grantees. Applications are also being accepted to serve Federally-recognized Indian Reservations not currently served by Head Start, and areas where Head Start services are not available for children of migrant farmworkers. In addition, applications are being accepted to establish new grantees to serve additional children in underserved areas in the five boroughs of New York City. It is expected that a total of approximately \$13,650,000 will be awarded to support these programs.

**DATES:** The closing date for receipt of applications is June 13, 1997.

**ADDRESSES:** Address applications to: Head Start: Unserved Areas, ACYF Operations Center, 3030 Clarendon Blvd.—Suite 240, Arlington, VA 22201.

**FOR FURTHER INFORMATION CONTACT:** For applications under Category 1 and 4—The ACF Regional Office which is responsible for the Head Start programs in your State. Regional Office telephone numbers are listed in Appendix A.

For applications under Category 2—Helen Scheirbeck, Chief, American Indian Programs Branch, Program Operations Division, Head Start Bureau; (202) 205-8437.

For applications under Category 3—Maria Candamil, Chief, Migrant Programs Branch, Program Operations Division, Head Start Bureau; (202) 205-8455.

#### SUPPLEMENTARY INFORMATION:

##### Part I. General Information

###### A. Background

Head Start is a national program providing comprehensive developmental services primarily to low-income preschool children and their families. To help enrolled children achieve their full potential, Head Start programs provide comprehensive health, nutritional, educational, social and other services. In addition, Head Start programs are required to provide

for the direct participation of the parents of enrolled children in the development, conduct, and direction of local programs. Head Start currently serves more than 750,000 children through a network of 1440 grantees and more than 700 delegate agencies.

While Head Start is targeted primarily towards children whose families have incomes at or below the poverty line or who are eligible for public assistance, regulations permit up to ten percent of the Head Start children in local programs to be from families who do not meet these low-income criteria. The Head Start statute also requires that a minimum of ten percent of enrollment opportunities in each program be made available to children with disabilities. Such children are expected to be enrolled in the full range of Head Start services and activities in a mainstream setting with their non-disabled peers, and to receive needed special education and related services.

Head Start programs are locally-designed to provide services through a variety of program options, based on the needs of local families that are not being met by existing early childhood and child care agencies and programs. Program options include part-day/part-year and full-day/full year center-based programs, home-based programs, combinations of center-and home-based options and other locally-designed options.

##### Migrant Head Start

Migrant Head Start Programs are designed to meet the needs of the children of migrant farmworkers. For purposes of establishing eligibility for Migrant Head Start services, a migrant family is defined as follows:

A family with preschool children who change their residence by moving from one geographic location to another, either intrastate or interstate, within the past 24 months, for the purpose of engaging in agricultural work that involves the production and harvesting of tree and field crops and whose family income comes primarily from this activity. (Please note that, although Head Start regulations in 45 CFR 1305.2 cite a 12 month period in which families are to have relocated, this has been superseded by a provision in the

Head Start Act that allows a 24 month period.)

In addition to providing the comprehensive child development services that all Head Start programs provide, Migrant Head Start programs typically operate for extended hours (8 to 12 hours per day), depending on the parents' work schedules and may serve children five to seven days per week. Migrant programs also typically provide child development and child care services to infants, toddlers and preschool-aged children.

#### Statutory and Regulatory Authority

The Head Start program is authorized by the Head Start Act, 42 U.S.C. 9801 *et seq.*, as amended.

The relevant regulations are:

- 45 CFR part 1301, Head Start Grants Administration.
- 45 CFR part 1302, Head Start Policies and Procedures for Selection, Initial Funding and Refunding of Head Start Grantees, and for Selection of Replacement Grantees.
- 45 CFR 1303, Appeal Procedures for Head Start Grantees and Current or Prospective Delegate Agencies.
- 45 CFR part 1304, Program Performance Standards for Operation of Head Start Programs by Grantees and Delegate Agencies.
- 45 CFR part 1305, Eligibility, Recruitment, Selection, Enrollment and Attendance in Head Start.
- 45 CFR part 1306, Head Start Staffing Requirements and Program Options.
- 45 CFR part 1308, Head Start Program Performance Standards on Services for Children with Disabilities.
- 45 CFR part 74, Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments and Indian Tribal Governments and 45 CFR Part 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Note:** On November 5, 1996 a final rule for the revised Head Start Program Performance Standards (45 CFR 1304) was published in the **Federal Register**, (61 FR 57186). The effective date for these regulations is January 1, 1998. Since the bulk of services funded through awards under this announcement will take place following January 1998, applications must provide evidence of the applicant's knowledge of and capacity to meet Head Start regulations, including the requirements of the revised 45 CFR part 1304.

#### B. Program Purpose

This announcement solicits applications from eligible applicants that wish to compete for Head Start grants to serve low-income preschool children in areas not currently served by Head Start grantees.

The Administration on Children, Youth and Families (ACYF) is also providing funding to expand Head Start services through two other national competitions. A Head Start Bureau Program Instruction No. 97-01, issued on March 12, 1997 announced the availability of approximately \$200,598,000 to increase enrollment in geographical areas currently served by Head Start grantees. In addition, Program Announcement ACYF-HS-93600-07-03, published in the **Federal Register** Vol. 62, No. 74 (April 17, 1997) describes a competition for approximately \$25,800,000 to expand services to children under age three and pregnant women in low-income families through funding additional Early Head Start programs.

#### Full-Day Services

This funding opportunity to expand Head Start to previously unserved communities, families and children coincides with a growing need by low-income families for full-day/full-year forms of early childhood programs. An increasing proportion of Head Start families are working, and many Head Start families who receive public assistance are participating in welfare reform initiatives designed by State governments in response to the newly enacted Temporary Assistance to Needy Families program.

Accordingly, applicants under this announcement are urged to give special consideration to assessing the impacts of employment patterns and welfare reform on needs for Head Start services and to consider creating full-day/full-year service strategies. Applicants are also urged to consider combining Head Start expansion funds with other child care and early childhood funding sources and to delivering services through partnerships with other community-based child care and early child centers, providers, and funding sources.

#### C. Eligible Applicants

Expansion applications under this announcement should be submitted under one of the following four categories:

*Category 1*, for Head Start-eligible children living in geographical areas that are not currently served by Head Start. A list of unserved areas is included in Appendix B.

Eligible applicants are local public or private non-profit agencies that wish to initiate a new Head Start program in one or more unserved geographical areas. Successful applicants that are local Head Start grantees from nearby communities that expand their programs into unserved geographical areas would receive an increase in their current grant rather than a new separate grant.

*Category 2*, for Head Start-eligible children living on or near Federally-recognized Indian reservations where a Head Start program does not currently operate.

Eligible applicants are the Tribal governments of unserved reservations that wish to initiate a Head Start program or agencies designated by these Tribal governments.

*Category 3*, for Head Start-eligible children of migrant farmworkers in geographical areas that are not currently served by a Migrant Head Start program. (Any geographical area *not* listed in Appendix C. is considered unserved.)

Eligible applicants are local public or private non-profit agencies, including current Migrant Head Start and Head Start grantees.

*Sub-Category 3.A.* A special Sub-Category 3.A. has been established to select one or more agencies to operate a program for the children of migrant farmworkers in Kern County, CA. For a number of years a Migrant Head Start program has existed in this area. The previous grantee agency is no longer operating this program and we wish to select a replacement grantee to continue providing Migrant Head Start services in this community. Arrangements are being made for an interim grantee to continue operating the program on a temporary basis until a permanent grantee can be selected through this competitive announcement.

Eligible applicants are local public or private non-profit agencies, including current Migrant Head Start and Head Start grantees.

If there is sufficient interest, an informal informational meeting may be held in Bakersfield, CA for potential applicants. If you are interested in attending such a meeting, please contact James Kolb at (202) 205-8580 by May 27, 1997.

*Category 4.* Head Start-eligible children living in underserved areas in New York, New York (i.e. Bronx, Kings, New York, Queens and Richmond counties). Applicants must propose serving children in underserved areas with high concentrations of poverty.

Eligible applicants are local public or private non-profit agencies in Bronx, Kings, New York, Queens, and

Richmond Counties that are not current Head Start grantees. (Present grantees may submit applications to expand enrollment by responding to Program Instruction ACYF-PI-HS-97-01, issued on March 12, 1997.)

Eligible applicants may apply for more than one of the four categories above, but must submit a separate application for each category.

#### *D. Available Funds*

**Category 1.** A total of approximately \$2,000,000 will be made available under Category 1 of this announcement for establishing new Head Start programs for preschool children in currently unserved geographical areas. To assure that the program can operate cost-efficiently, applicants that are not current Head Start grantees will generally not be funded to initiate a new program in unserved geographical areas for less than 60 children unless the applicant can justify why a smaller enrollment level is appropriate for the geographical area proposed for expansion. Current Head Start grantees may be funded for as little as one class (or a group of children and families served by a single home visitor in a home-based program option) when they expand into an unserved geographical area, if such an expansion would be cost efficient.

**Category 2.** For applicants applying to serve preschool children on unserved Indian reservations under Category 2, up to approximately \$3,000,000 will be made available. No minimum enrollment level has been established for new Indian Head Start projects. Applicants should propose to serve a sufficient number of children to ensure a viable and cost-efficient program.

**Category 3.** For applicants applying to serve migrant children (infants, toddlers and preschoolers) under Category 3, up to approximately \$4,500,000 will be made available. While no minimum enrollment level has been established for Migrant Head Start projects, applicants should indicate a sufficient number of eligible children to ensure a viable and cost-efficient program. Factors to be addressed related to program viability should include the size of the service area proposed and a sufficient population to justify program services in "off years" when the population of migrant children might be low due to crop failure, variations in the migrant stream or natural disasters such as drought or flood.

**Sub-Category 3.A.** Approximately \$2,150,000 is available under this Sub-Category to continue the Migrant Head Start program that serves Kern County, CA.

**Category 4.** Under Category 4, we expect to make awards in a range of approximately \$2 million to \$4 million to applicants applying to establish new programs to serve children in underserved areas within the five boroughs of New York, New York. Applicants should propose to serve a minimum of 60 children unless the applicant can justify why a smaller enrollment level is appropriate for the geographical area proposed for expansion.

#### Recipient Share of the Project

Section 640(b) of the Head Start Act requires, with certain possible exceptions, that at least 20 percent of the total cost of Head Start projects come from sources other than the Federal government. Therefore, a project requesting \$100,000 in Federal funds must include a match of at least \$25,000 (20 percent of the total Federal plus non-Federal project cost of \$125,000). The non-Federal share may be in cash or in-kind, fairly valued, including facilities, equipment, or volunteer services.

#### **Part II. Application Requirements**

Applicants should include the following information in their applications:

##### Project Abstract

Provide a one-page summary of the project proposal, including:

- The name and address of the applicant agency.
- The category of application (Category 1,2,3,3A or 4).
- The number of additional children to be served.
- The total annual ongoing Federal funds being requested, exclusive of any one-time start-up funds being requested.
- The communities where expansion is proposed (Name (1) the counties and the cities, towns, or neighborhoods or (2) the Federal Indian Reservation where additional children will be served).
- A statement as to whether or not the applicant is currently a Head Start grantee. Current grantees should include their grant number.

##### *A. Objectives and Need for Assistance*

1. Describe and document the need for Head Start services within the proposed target area, including documentation of the number of unserved Head Start-eligible children, including children with disabilities and non-English language children.

2. Provide data and analysis of family and community needs, including the

implications of welfare reform and employment patterns on family needs for child care and other support services.

3. Describe the services and resources of other local child care and early childhood programs and providers serving low-income families and discuss how your proposed new Head Start services will complement the work of these other community agencies.

4. Discuss how families and children who have the most need for Head Start services, including children with disabilities, will be reached by describing the proposed target area(s) for services, recruitment strategies, and priorities for selecting children and families for enrollment. Children with disabilities must be enrolled in the full range of Head Start services and activities in a mainstream setting and receive needed special education and related services.

5. Applicants for Migrant Head Start funds should also provide the following information: (a) The specific times and duration of the agricultural growing season, (b) the length of the work day for the migrant farmworkers, (c) the opening and closing hours for the proposed Head Start centers, (d) the distance of migrant residences to the centers, and (e) clear documentation that the families that would be served are mobile farmworkers, as defined in Part I A. of this announcement.

6. Applicants under Category 3A should describe an approach to continuation of services to (a) eligible children who have been participating as enrollees and (b) the target area or areas served by the current interim Head Start grantee.

##### *B. Results or Benefits Expected*

1. Describe the results and benefits to be derived by children, families, collaborating agencies and institutions and the larger community.

##### *C. Approach*

1. Provide plans for delivering high quality services to children and families in all areas of service and program management defined by the Head Start Program Performance Standards. Applicants should include a plan to meet the needs of non-English language children and families in their preferred language, when appropriate.

2. Provide for the involvement of parents and other community members and organizations in the development and planning of the application. Applicants should ensure that the plan for parent involvement includes efforts to involve Head Start parents in appropriate educational activities in

order to aid their children to attain their full potential.

3. Describe plans to establish new Head Start services in a timely and efficient manner. Applicants for center-based program options should discuss plans to obtain classroom space which meets required licensing standards and to provide adequate transportation. All applicants should outline plans to recruit eligible children and families and begin services as soon as possible. Note: ACYF expects that all applicants funded under this announcement will be serving their full number of proposed children and families no later than September, 1998.

4. Document cooperative arrangements with other public or private agencies to assist the applicant in providing high quality Head Start services. Such cooperative arrangements must include a plan to coordinate the Head Start program with other preschool programs and with school programs children will enter after their Head Start experience. For applicants for Migrant Head Start funding, demonstrate collaboration with other organizations and networks serving migrant children and families.

#### D. Additional Information

1. Describe the mechanisms for recruiting and hiring well-trained and appropriately-credentialed staff members, based on the Head Start Program Performance Standards. Describe a strategy for ongoing supervision and professional development for all staff members. NOTE: Applications submitted under Category 3A should describe plans for continued employment of qualified personnel of the current interim Head Start grantee.

2. Propose a staffing pattern (including proposed staff:child ratios consistent with Head Start Program Performance Standards, based on the age group of children served) and identify all proposed staff or staff positions, their proposed salary rates and the length of time they would be employed each year.

3. Provide an organizational chart showing how the applicant agency is currently operating, a second chart showing how the new Head Start services will relate to the exiting organizational structure, and a third organizational chart showing the proposed staffing, supervisory, and governance structure for the proposed new services.

4. Demonstrate the ability and experience to administer a Head Start program. Applicants that have provided services comparable to Head Start

should provide information on these services.

5. Describe how high quality ongoing services will be provided in accordance with the Head Start Program Performance Standards at a reasonable cost. Provide two budgets: a budget for annual ongoing operating costs and; a budget for the initial period before full services begin that describes start-up costs such as renovation of facilities, purchases of equipment and initial staff training.

6. Identify in the budget the required non-Federal share of the cost of the project. Discuss strategies for obtaining the contributions required to satisfy requirements for the non-Federal share. Document other community resources which would support the proposed expansion of Head Start.

### Part III. Criteria for Review and Evaluation of the Grant Application

Competing applications for financial assistance will be reviewed and evaluated against the following criteria:

#### A. Objectives and Need for Assistance (20 points)

—The extent to which the application provides current relevant data on the needs of children, families and communities for new Head Start services, including changes in rates of poverty, family mobility, employment patterns, implications of welfare reform, and needs for services such as child care, health care, and other family support services.

—The extent to which the application provides analysis of the funding, services, and capacities of other local child care and early childhood programs and providers serving low-income children and families and a convincing rationale for the proposed expansion of Head Start in light of what other organizations are doing.

—The extent to which the application links evidence of family and community needs and patterns of existing early childhood services with the proposed strategy for selecting participants and targeting program services.

—The extent to which the application provides evidence of community support for the analysis of needs and the proposed approach to expanding Head Start services.

In addition, applications under Category 3A will be reviewed on the extent to which provision is made for continuation of services to (a) Eligible children who have been participating as enrollees in the program and (b) the target area served by the program

operated by the current interim grantee agency serving Kern County, CA.

Information provided in response to Part II, Section A., will be used to review and evaluate applicants on the above criterion.

#### B. Results or Benefits Expected (10 points)

—The extent to which the application identifies the results and benefits to be derived by children, families, collaborating agencies and institutions and the larger community.

Information provided in response to Part II, Section B. will be used to review and evaluate applicants on the above criterion.

#### C. Approach (30 points)

—The extent to which the application includes a detailed, well-organized, and credible plan of action to establish and carry out the proposed expansion of Head Start services.

—The extent to which the application includes clear plans and a demonstrated understanding of and commitment to implement the Head Start Program Performance Standards, including the involvement of parents and families in program design and decision making.

Information provided in response to Part II, Section C. of this announcement will be used to review and evaluate applicants on the above criterion.

#### D. Staff Background and Organizational Capacity (30 points)

—The extent to which the proposed management team, key project staff, and the organization's experience and history with the community demonstrate the ability to effectively and efficiently administer a project of this size, complexity and scope, including:

—Providing high quality, responsive services to young children and families as defined by the Head Start Program Performance Standards.

—Managing the proposed new Head Start services in a timely, cost-effective manner.

—Working successfully in partnership with parents, families, and other community organizations, institutions, and agencies.

In addition, applications under Category 3A will be reviewed for the extent to which provision is made for continued employment of qualified personnel of the current interim Head Start grantee.

Information provided in response to Part II, Section D. of this announcement

will be used to review and evaluate applicants on the above criterion.

*E. Budget Appropriateness (10 points)*

- The extent to which the project's costs are reasonable and cost-effective in view of the activities to be carried out and the anticipated outcomes.
- The extent to which proposed salaries and fringe benefits reflect appropriate levels of compensation for the responsibilities of staff.
- The extent to which assurances are provided that the applicant will contribute the required 20 percent non-Federal share of the total project cost.
- If the applicant is proposing to improve facilities, the extent to which the cost and scope of such minor renovations are reasonable and the extent to which such facilities can be occupied within a reasonable timeframe.

Information provided in response to Part II, Section D. of this announcement will be used to review and evaluate applicants on the above criterion.

**Part IV. The Application Process**

*A. Availability of Forms*

Eligible agencies interested in applying for funds must submit all of the required forms included at the end of this announcement in Appendix D. Applicants are required to use the Standard Forms, Certifications, Disclosures and Assurances provided under the ACF Uniform Discretionary Grant Application Form (ACF/UDGAF). Applicants should follow instructions in the ACF/UDGAF for NEW APPLICATIONS. Applicants should respond to the instructions under ACF/UDGAF—Program Narrative—Items A (Project Description—Components) and D (\*Budget and Budget Justification). Under Project Description—Component, the applicant should address the specific information requested in Part II of this announcement.

In order to be considered for a Head Start grant, an application must be submitted on Standard Form 424 which has been approved by the Office of Management and Budget (OMB) under Control Number 0348-0043. Each application must be signed by an individual authorized to act for the applicant and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Each application must have an original signature by the authorized representative of the applicant. A copy of the governing body's authorization for this individual to sign this application as an official representative must be on file in the applicant's office.

*B. Application Submission*

One signed original and two copies of the grant application, including all attachments, are required. Completed applications must be sent to: Head Start: Unserved Areas, ACYF Operations Center, 3030 Clarendon Blvd., Arlington, VA 22201. The program announcement number (ACYF-HS-97-06) must be clearly identified on the application. Applicants must also indicate in Box 11 on Standard Form 424 for which of the four categories in Part I.A., above, they are applying. Applicants may apply to serve children in more than one category, but must submit a separate application for each category. Applicants applying for more than one category in a single application will not be considered for funding in any category.

Please note that, in order to facilitate the review of proposals, applicants should include a Table of Contents. Although there is no specific limit on the number of pages an application may contain, applicants are encouraged to be as concise and succinct as possible.

*C. Application Consideration*

Applicants will be reviewed against the evaluation criteria outlined in Part III. The review will be conducted in Washington, D.C. Reviewers will be persons knowledgeable about the Head Start program and early childhood education and development, including parents of Head Start children, Federal staff, and other experts, such as university staff or the staff of child development projects.

The results of the competitive review will be taken into consideration by the Associate Commissioner, Head Start Bureau, who, in consultation with officials in ACF Regional Offices and the Indian and Migrant Programs Branches, will recommend projects to be funded. The Commissioner of ACYF will make the final selection of the applicants to be funded. Applications may be funded in whole or in part depending on relative need (including numbers of eligible children who are not participating in Head Start and concentrations of low-income families in a community), applicant ranking, evidence of the degree of community support, evidence of the applicant's capacity to implement the requested expansion, and funds available.

The Commissioner may elect not to fund any applicants that have management, fiscal, or other problems and situations which make it unlikely that they would be able to provide effective Head Start services. For example, this might apply to a current

Head Start grantee in which previously identified deficiencies have not yet been corrected, if it is determined that the nature of the deficiencies might prevent the agency from delivering expanded services effectively. It might also apply to grantees with large balances of unobligated funds, or grantees that have been unable to serve the agreed upon numbers of children in the past. Also, the Commissioner may decide not to fund projects which would require unreasonably large initial start-up costs for facilities or equipment.

Successful applicants will be notified through the issuance of a Financial Assistance Award which sets forth the amount of funds awarded, the terms and conditions of the grant, the effective date of the grant, the budget period for which support is given, the non-Federal share to be provided, and the total project period for which support is provided.

*D. Closing Date for Receipt of Applications*

The closing date for the receipt of applications is [Insert date 60 days from date of publication in the **Federal Register**].

1. *Deadlines.* Applications shall be considered as meeting the deadline if they are either:

- a. Received on or before the deadline date at the address specified in the program announcement, or
- b. Sent on or before the deadline date and received by the granting agency in time for them to be considered in time for the independent review under DHHS GAM Chapter 1-62. (Applicants are cautioned to request a legibly dated U.S. Postal Service postmark or to obtain a legibly dated receipt from a commercial carrier or the U.S. Postal Service. Private metered postmarks are not acceptable as proof of timely mailing.)

c. Applicants hand carried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m. at the ACYF Operations Center, 3030 Clarendon Blvd.—Suite 240, Arlington, VA 22201 between Monday and Friday (excluding Federal Holidays). (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

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

2. *Applications submitted by other means.* Applications which are not submitted in accordance with the above criteria shall be considered as meeting the deadline only if they are physically received before the close of business on or before the deadline date.

3. *Late Applications.* Applications which do not meet one of these criteria are considered late applications. The Head Start Bureau will notify each late applicant that its application will not be considered in this expansion.

4. *Extension of deadline.* The Head Start Bureau may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc. or when there is a disruption of the mails. However, if the Head Start Bureau does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicant.

#### E. Paperwork Reduction Act of 1995

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

#### F. Executive Order 12372—Notification Process

This program is covered under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs 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, Idaho, Kansas, Louisiana, Minnesota, Nebraska, Oklahoma, Oregon, Pennsylvania, Virginia, American Samoa, and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applications from Federally recognized Indian Tribes are exempt from E.O. 12372.

Applicants from these twenty-three jurisdictions and from Federally recognized Indian tribes need take no action regarding E.O. 12372. All other applicants should contact their SPOC as soon as possible to alert them to the prospective application and to receive any necessary instructions. Applicants must submit any required material to

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

SPOCs have 60 days from the application deadline date to comment on applications submitted under this announcement. Therefore, the comment period for State processes will end on September 11, 1997, to allow time for ACF to review, consider, and attempt to accommodate SPOC input. 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 they intend to trigger the "accommodate or explain" rule.

Comments submitted directly to ACF should be addressed to: Lynda Perez, Head Start Bureau, P.O. Box 1182, Washington, D.C. 20013, Attn: Head Start Expansion: Unserved Areas. ACF will notify the State of any application received which has no indication that the State process has had an opportunity for review.

A list of Single Points of Contact for each State and territory is included at Appendix E.

(Catalog of Federal Domestic Assistance Program Number 93.600, Project Head Start)

Dated: May 8, 1997.

#### Helen H. Taylor,

*Deputy Associate Commissioner,  
Administration on Children, Youth, and  
Families.*

#### Appendix A

##### ACF Regional Offices

*Region I:* (617) 565-2463 Massachusetts

*Region II:* (212) 264-2890 New York

*Region III:* (215) 596-0351 Virginia

*Region IV:* (404) 588-5700 Georgia, North Carolina

*Region V:* (312) 353-4237 Wisconsin

*Region VI:* (214) 767-9648 New Mexico, Oklahoma, Texas

*Region VII:* (816) 426-3981 Iowa, Kansas, Nebraska

*Region VIII:* (303) 844-3100 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

*Region IX:* (415) 437-8400 California, Nevada

*Region X:* (206) 615-2547 Alaska, Idaho, Oregon, Washington

#### Appendix B

##### Counties Unserved by Head Start

##### Alaska

Aleutians East Borough

Aleutians West Census

Aleutian Is.

Kobuk

North Slope Borough

Sitka Borough

Skagway-Yakutat-Angoon

Southeast Fairbanks

Valdez-Cordova Census

Yukon-Koyukuk Census

Juneau

##### California

Alpine County

##### Colorado

Baca County

Cheyenne County

Custer County

Dolores County

Douglas County

Elbert County

Grand County

Gunnison County

Jackson County

Kiowa County

Kit Carson County

Lincoln County

Mineral County

Ouray County

Phillips County

Pitkin County

Rio Blanco County

Routt County

San Juan County

San Miguel County

Sedgwick County

Summit County

Teller County

##### Georgia

Echols County

Taliaferro County

Idaho

Adams County

Butte County

Clark County

Custer County

Fremont County

Jefferson County

Lemhi County

Madison County

##### Iowa

Adair County

##### Kansas

Anderson County

Barber County

Chase County

Chautauqua County

Cheyenne County

Clark County

Coffey County

Comanche County

Edwards County

Elk County

Greeley County

Greenwood County

Hamilton County

Harper County

Hodgeman County

Kingman County

Kiowa County

Lane County

Lincoln County

Marion County

Meade County

Mitchell County

Morris County

Morton County

Ness County

Norton County

Osborne County  
 Ottawa County  
 Phillips County  
 Pratt County  
 Rawlins County  
 Rooks County  
 Sheridan County  
 Stafford County  
 Massachusetts  
 Nantucket County  
 Montana  
 Carbon County  
 Carter County  
 Chouteau County  
 Daniels County  
 Fallon County  
 McCone County  
 Powder River County  
 Richland County  
 Sheridan County  
 Stillwater County  
 Sweet Grass County  
 Teton County  
 Treasure County  
 Wibaux County  
 Nebraska  
 Arthur County  
 Banner County  
 Blaine County  
 Boyd County  
 Chase County  
 Dixon County  
 Dundy County  
 Franklin County  
 Frontier County  
 Furnas County  
 Gosper County  
 Grant County  
 Harlan County  
 Hayes County  
 Hitchcock County  
 Hooker County  
 Johnson County  
 Keya Paha County  
 Logan County  
 Loup County  
 McPherson County  
 Pawnee County  
 Perkins County  
 Pierce County  
 Rock County  
 Thomas County  
 Washington County  
 Wheeler County  
 Sioux County  
 Nevada  
 Douglas  
 Esmeralda  
 Eureka  
 Lander  
 Lincoln  
 Nye County  
 Pershing County  
 Storey County  
 New Mexico  
 Harding County  
 Los Alamos County  
 North Carolina  
 Polk County  
 North Dakota  
 Burke County  
 Divide County  
 Grant County  
 McKenzie County  
 McLean County  
 Mercer County

Oliver County  
 Renville County  
 Sheridan County  
 Oklahoma  
 Dewey County  
 Harper County  
 Oregon  
 Harney County  
 South Dakota  
 Ziebach County  
 Texas  
 Armstrong County  
 Bailey County  
 Borden County  
 Brewster County  
 Briscoe County  
 Carson County  
 Cochran County  
 Coke County  
 Culberson County  
 Falls County  
 Floyd County  
 Franklin County  
 Hansford County  
 Hartley County  
 Hemphill County  
 Hudspeth County  
 Jack County  
 Jeff Davis County  
 Jones County  
 Kenedy County  
 Kent County  
 King County  
 Lipscomb County  
 Loving County  
 Lynn County  
 McMullen County  
 Motley County  
 Oldham County  
 Presidio County  
 Rains County  
 Roberts County  
 San Saba County  
 Shackelford County  
 Sherman County  
 Stephens County  
 Sterling County  
 Stonewall County  
 Terrell County  
 Throckmorton County  
 Wheeler County  
 Winkler County  
 Utah  
 Daggett County  
 Sanpete County  
 Virginia  
 Colonial Heights City  
 King George County  
 Manassas City  
 Manassas Park City  
 Poquoson City  
 Prince George County  
 Washington  
 Columbia County  
 Garfield County  
 Lincoln County  
 Wisconsin  
 Kewaunee County  
 Ozaukee County  
 Wyoming  
 Teton County

**Note:** In States not listed, all counties are currently served by a Head Start program.

## Appendix C

### Areas Served by Current Migrant Head Start Programs

Alabama  
 Baldwin County  
 Blount County  
 St. Clair County  
 Arkansas  
 Desha County  
 Mississippi County  
 White County  
 Arizona  
 Maricopa County  
 Yuma County  
 Pinal  
 California  
 Butte County  
 Contra Costa County  
 Fresno County  
 Glenn County  
 Imperial County  
 Kern County  
 Kings County  
 Lake County  
 Madera County  
 Merced County  
 Monterey County  
 Orange County  
 Riverside County  
 San Benito County  
 San Diego County  
 San Joaquin County  
 San Luis Obispo County  
 Santa Clara County  
 Santa Cruz County  
 Solano County  
 Sonoma County  
 Stanislaus County  
 Sutter County  
 Tulare County  
 Yolo County  
 Colorado  
 Adams County  
 Alamosa County  
 Boulder County  
 Crowley County  
 Delta County  
 Larimer County  
 Logan County  
 Mesa County  
 Montrose County  
 Morgan County  
 Otero County  
 Prowers County  
 Pueblo County  
 Rio Grande County  
 Washington County  
 Weld County  
 Delaware  
 Kent County  
 Sussex County  
 Florida  
 Collier County  
 Dade County  
 DeSoto County  
 Gadsden County  
 Gulf County  
 Hendry County  
 Highlands County  
 Hillsborough County  
 Indian River County  
 Lake County  
 Lee County  
 Manatee County  
 Marion County

Okeechobee County  
 Orange County  
 Palm Beach County  
 Pasco County  
 Polk County  
 St. Lucie County  
 Georgia  
 Appling County  
 Candler County  
 Colquitt County  
 Montgomery County  
 Tattnall County  
 Tift County  
 Toombs County  
 Treutlen County  
 Idaho  
 Bingham County  
 Bonneville County  
 Boundary County  
 Canyon County  
 Cassia County  
 Elmore County  
 Gooding County  
 Jerome County  
 Owyhee County  
 Payette County  
 Power County  
 Twin Falls County  
 Washington County  
 Illinois  
 Champaign County  
 Coles County  
 Cook County  
 De Kalb County  
 Iroquois County  
 Jackson County  
 Johnson County  
 Kane County  
 Kankakee County  
 Kendall County  
 LaSalle County  
 Mason County  
 Peoria County  
 Tazewell County  
 Union County  
 Vermilion County  
 Will County  
 Williamson County  
 Indiana  
 Benton County  
 Cass County  
 Grant County  
 Howard County  
 Madison County  
 Marshall County  
 Wells County  
 Louisiana  
 (Please see Note, below.)  
 Maryland  
 Caroline County  
 Dorchester County  
 Kent County  
 Queen Annes' County  
 Maine  
 Aroostook County  
 Washington County  
 Michigan  
 Allegan County  
 Arenac County  
 Bay County  
 Berrien County  
 Kent County  
 Lenawee County  
 Oceana County  
 Ottawa County  
 Van Buren County  
 Minnesota  
 Cass County  
 Chippewa County  
 Kandiyohi County  
 McLeod County  
 Norman County  
 Polk County  
 Renville County  
 Rice County  
 Steele County  
 Wilkin County  
 Montana  
 Big Horn County  
 Carbon County  
 Park County  
 Richland County  
 North Carolina  
 Alamance County  
 Caswell County  
 Duplin County  
 Gates County  
 Harnett County  
 Henderson County  
 Johnston County  
 Nash County  
 Orange County  
 Pamlico County  
 Person County  
 Pitt County  
 Sampson County  
 Surry County  
 Wake County  
 Wayne County  
 Wilson County  
 Yadkin County  
 North Dakota  
 Grand Forks County  
 Pembina County  
 Richland County  
 Traill County  
 Walsh County  
 Williams County  
 Nebraska  
 Box Butte County  
 Morrill County  
 Scotts Bluff County  
 New Jersey  
 Atlantic County  
 Cumberland County  
 New Mexico  
 Dona Ana County  
 Luna County  
 Roosevelt County  
 New York  
 Chautauqua County  
 Genesee County  
 Niagara County  
 Ontario County  
 Orange County  
 Orleans County  
 Oswego County  
 Ulster County  
 Wayne County  
 Ohio  
 Clark County  
 Huron County  
 Ottawa County  
 Putnam County  
 Sandusky County  
 Wood County  
 Oregon  
 Clackamas County  
 Hood River County  
 Klamath County  
 Malheur County  
 Marion County  
 Morrow County  
 Umatilla County  
 Wasco County  
 Washington County  
 Pennsylvania  
 Adams County  
 Chester County  
 Erie County  
 Franklin County  
 Lackawanna County  
 South Carolina  
 Aiken County  
 Beaufort County  
 Charleston County  
 Cherokee County  
 Edgefield County  
 Georgetown County  
 Marion County  
 Saluda County  
 South Dakota  
 Clay County  
 Marshall County  
 Tennessee  
 Bledsoe County  
 Greene County  
 Hamblen County  
 Morgan County  
 Rhea County  
 Unicoi County  
 Washington County  
 Texas  
 Atascosa County  
 Bailey County  
 Brooks County  
 Cameron County  
 Crosby County  
 Deaf Smith County  
 Dimmit County  
 Floyd County  
 Frio County  
 Hale County  
 Hidalgo County  
 Jim Wells County  
 La Salle County  
 Lubbock County  
 Maverick County  
 Medina County  
 Pecos County  
 Reeves County  
 San Patricio County  
 Starr County  
 Uvalde County  
 Val Verde County  
 Webb County  
 Willacy County  
 Zapata County  
 Utah  
 Box Elder County  
 Davis County  
 Iron County  
 Morgan County  
 Sanpete County  
 Utah County  
 Washington County  
 Weber County  
 Virginia  
 Accomack County  
 Clarke County  
 Frederick County  
 Northhampton County  
 Winchester City  
 Washington  
 Adams County  
 Benton County  
 Chelan County  
 Columbia County  
 Douglas County



Franklin County  
Grant County  
Okanogan County  
Skagit County  
Walla Walla County  
Whatcom County  
Yakima County  
Wisconsin

Adams County  
Columbia County  
Dodge County  
Marquette County  
Waukesha County  
Wyoming  
Washakie County

**Note:** In Louisiana, the current grantee for the Migrant Head Start program in Tangipahoa Parish has decided to no longer operate the program. Therefore, eligible applicants may apply to serve this Parish, as well as other areas in Louisiana.

**BILLING CODE 4184-01-P**

Appendix D

**APPLICATION FOR  
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Preapplication <input type="checkbox"/> Non-Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier	
3. DATE RECEIVED BY STATE		State Application Identifier		
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier		
5. APPLICANT INFORMATION				
Legal Name:		Organizational Unit:		
Address (give city, county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>		
8. TYPE OF APPLICATION: <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): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> TITLE:		9. NAME OF FEDERAL AGENCY:		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:		
Start Date	Ending Date	a. Applicant	b. Project	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:		
b. Applicant	\$ .00	DATE _____		
c. State	\$ .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372		
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
e. Other	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		
f. Program Income	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No		
g. TOTAL	\$ .00	18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		
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 4-82)  
Prescribed by OMB Circular A-102

**Instructions for the SF 424**

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

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

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

**Item and Entry**

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

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

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

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

7. Enter the appropriate letter in the space provided.

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

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

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

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

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

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

13. Self-explanatory.

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

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

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

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

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

BILLING CODE 4184-01-P

OMB Approval No. 034B-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		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(1)	(2)	(3)	(4)	Total (5)	
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6 h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income						
	\$	\$	\$	\$	\$	

Standard Form 424A (Rev. 4-92)  
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SECTION C -- NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTAL (sum of lines 8 and 11)	\$	\$	\$	\$	\$
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
13. Federal					
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E -- BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F -- OTHER BUDGET INFORMATION					
21. Direct Charges:					22. Indirect Charges:
23. Remarks:					

**Instructions for the SF 424A**

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

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

**General Instructions**

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

**Section A. Budget Summary Lines 1-4, Columns (a) and (b)**

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

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

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

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

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

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

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

Line 5—Show the total for all columns used.

**Section B. Budget Categories**

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Columns (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 in Columns (b), (c), and (d).

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

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

**Section F. Other Budget Information**

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

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

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

**Assurances—Non-Construction Programs**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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Signature of Authorized Certifying Official

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Title

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Applicant Organization

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Date Submitted

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

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

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

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the

grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

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

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

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

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

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

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

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

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

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

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

#### Certification Regarding Drug-Free Workplace Requirements

##### Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(B) The grantee may insert in the space provided below the site(s) for the

performance of work done in connection with the specific grant:

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

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

##### Alternate II. (Grantees Who Are Individuals)

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

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant. [55 FR 21690, 21702, May 25, 1990]

#### Certification Regarding Debarment, Suspension, 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 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 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 voluntary excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

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

this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

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

\* \* \* \* \*

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

(1) The prospective lower tier participation 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 any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Lobbying**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

Report Lobbying," in accordance with its instructions.

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date

BILLING CODE 4184-01-P

**DISCLOSURE OF LOBBYING ACTIVITIES**

Approved by OMB  
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<p><b>1. Type of Federal Action:</b></p> <p><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</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p>For material change only  Year _____ Quarter _____  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b></p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee  Tier _____, if known.</p> <p>Congressional District, if known</p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known</p>
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable:</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):</p>	<p><b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>Items 11 through 15 are deleted.</p>		
<p>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.</p>	<p>Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only:</p>	<p>Authorized for Local Reproduction Standard Form - LLL</p>	

**Certification Regarding Environmental Tobacco Smoke**

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

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

**Appendix E.—OMB State Single Point of Contact (SPOC) List**

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The jurisdictions not listed no longer participate in the process. These include: Alabama; Alaska; American Samoa; Colorado; Connecticut; Kansas; Hawaii; Idaho; Louisiana; Massachusetts; Minnesota; Montana; Nebraska; New Jersey; Oklahoma; Oregon; Palau; Pennsylvania; South Dakota; Tennessee; Vermont; Virginia; and Washington. This list is based on the most current information provided by the States.

**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, FAX: (502) 573-2512

**Maine**

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

**Maryland**

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

**Michigan**

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4226, FAX: (313) 961-4869

**Mississippi**

Cathy Mallette, 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) 224-2094, FAX: (701) 224-2308

**Ohio**

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

**Rhode Island**

Daniel W. Varin, Associate Director, Department of Administration, Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083

Please direct correspondence and questions to: Review Coordinator, Office of Strategic Planning.

**South Carolina**

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

**Texas**

Tom Adams, Governors Officer, 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, (809) 723-6190, FAX: (809) 724-3270, (809) 724-3103

##### Northern Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP 96950, 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.

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BILLING CODE 4184-01-P

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Health Care Financing Administration

[MB-103-NC]

RIN 0938-AH90

#### Medicaid Program; Allocation of Enhanced Federal Matching Funds for Increased Administrative Costs Resulting From Welfare Reform

AGENCY: Health Care Financing Administration (HCFA), HHS.

ACTION: Notice with comment period.

**SUMMARY:** This notice with comment period announces the methodology used to determine the allocation, among the States and certain Territories, of a \$500 million fund to assist them with the additional expenses attributable to eligibility determinations incurred as a result of the provisions of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, which decouples Medicaid eligibility from receipt of cash assistance for families and children. Also, it announces the actual allocation amount for each State and Territory. The special fund is available for matching a State's or Territory's allowable administrative expenditures incurred only during Federal fiscal years 1997 through 2000, and only during the first 12 calendar quarters in which the State's Temporary Assistance to Needy Families program, which replaced the Aid to Families with Dependent Children program, is in effect after August 21, 1996.

**DATES:** Effective Date: This notice is effective on May 14, 1997.

**Comment Period:** Written comments will be considered if we receive them at the appropriate address, as provided below, no later than 5 p.m. on June 13, 1997.

**ADDRESSES:** Mail comments (one original and three copies) to the following address: Health Care Financing Administration, Department of Health and Human Services, Attention: MB-103-NC, P.O. Box 7517, Baltimore, MD 21207-0517.

If you prefer, you may deliver your written comments (one original and three copies) to one of the following addresses:

Room 309-G, Hubert H. Humphrey Building, 200 Independence Avenue, SW., Washington, DC 20221, or Room C5-09-26, 7500 Security Boulevard, Baltimore, MD 21244-1850.

Because of staffing and resource limitations, we cannot accept comments

by facsimile (FAX) transmission. When you comment, please refer to file code MB-103-NC. Comments received timely will be available for public inspection as they are received, generally beginning approximately 3 weeks after publication of a document, in Room 309-G of the Department's offices at 200 Independence Avenue, SW., Washington, DC, on Monday through Friday of each week from 8:30 a.m. to 5 p.m. (phone: (202) 690-7890).

**Copies:** To order copies of the **Federal Register** containing this document, send your request to: New Orders, Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. Specify the date of the issue requested and enclose a check or money order payable to the Superintendent of Documents, or enclose your Visa or MasterCard number and expiration date. Credit card orders can also be placed by calling the order desk at (202) 512-1800 or by faxing to (202) 512-2250. The cost for each copy is \$8. As an alternative, you can view and photocopy the **Federal Register** document at most libraries designated as Federal Depository Libraries and at many other public and academic libraries throughout the country that receive the **Federal Register**.

**FOR FURTHER INFORMATION CONTACT:** Richard Strauss, (410) 786-2019.

#### SUPPLEMENTARY INFORMATION:

##### I. Background

Under title XIX of the Social Security Act (the Act), Federal funds are available at specified Federal matching rates for expenditures for medical assistance and administrative expenditures under the States' approved Medicaid plans. State Medicaid agencies are required to submit quarterly reports of expenditures (on Form HCFA-64) in order to claim Federal financial participation (FFP), that is, Federal matching funds for these expenditures.

##### II. Recent Legislation

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) amended title IV-A of the Act to repeal the Aid to Families with Dependent Children (AFDC) program. The AFDC program provided an entitlement to cash assistance for eligible families with dependent children and was funded by an openended, jointly funded Federal-State program. PRWORA replaced AFDC with a program of block grants for States for Temporary Assistance for Needy Families (TANF). The repeal of AFDC becomes effective not later than July 1,