

indicated or the offices of the Board of Governors not later than June 16, 1997.

A. Federal Reserve Bank of St. Louis (Randall C. Sumner, Vice President) 411 Locust Street, St. Louis, Missouri 63102-2034:

1. *Village Bancshares, Inc.*, Springfield, Missouri; to become a bank holding company by acquiring 100 percent of the voting shares of Village Bank, Springfield, Missouri (a *de novo* state chartered bank).

Board of Governors of the Federal Reserve System, May 16, 1997.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 97-13287 Filed 5-20-97; 8:45 am]

BILLING CODE 6210-01-F

FEDERAL RESERVE SYSTEM

Change in Bank Control Notices; Acquisitions of Shares of Banks or Bank Holding Companies

The notificants listed below have applied under the Change in Bank Control Act (12 U.S.C. 1817(j)) and § 225.41 of the Board's Regulation Y (12 CFR 225.41) to acquire a bank or bank holding company. The factors that are considered in acting on the notices are set forth in paragraph 7 of the Act (12 U.S.C. 1817(j)(7)).

The notices are available for immediate inspection at the Federal Reserve Bank indicated. Once the notices have been accepted for processing, they will also be available for inspection at the offices of the Board of Governors. Interested persons may express their views in writing to the Reserve Bank indicated for that notice or to the offices of the Board of Governors. Comments must be received not later than June 5, 1997.

A. Federal Reserve Bank of

Richmond (A. Linwood Gill, III Assistant Vice President) 701 East Byrd Street, Richmond, Virginia 23261-4528:

1. *Jeffery T. Valcourt*, Arlington, Virginia; to acquire an additional 15.25 percent, for a total of 24.99 percent, of the voting shares of United Financial Banking Companies, Inc., Vienna, Virginia, and thereby indirectly acquire The Business Bank, Vienna, Virginia.

B. Federal Reserve Bank of Atlanta (Lois Berthaume, Vice President) 104 Marietta Street, N.W., Atlanta, Georgia 30303-2713:

1. *Thomas A. Arrendale, III*, Gainesville, Georgia, Cynthia A. Bussey, Atlanta, Georgia, and Nelle Arrendale, Clarkesville, Georgia, as partners in the Arrendale Undiversified Family Limited Partnership, Baldwin, Georgia; to collectively acquire 12.48 percent of the

voting shares of Habersham Bancorp, Cornelia, Georgia, and thereby indirectly acquire Habersham Bank, Clarkesville, Georgia.

Board of Governors of the Federal Reserve System, May 16, 1997.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 97-13288 Filed 5-20-97; 8:45 am]

BILLING CODE 6210-01-F

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

[Program Announcement No. ACYF-CB-93.652-97-04]

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

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

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

SUMMARY: The Children's Bureau (CB) within the Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF) announces the availability of fiscal year (FY) 1997 funds from the Adoption Opportunities Program for demonstration grants to State child welfare agencies, public or private nonprofit child welfare and adoption parents' groups for projects aimed at: (a) Developing effective collaborations for timely adoptions; (b) increasing adoptive placements for children in foster care; (c) developing innovative practices for increasing adoptions of minority children; (d) developing innovations in post-legal adoption services; (e) increasing practice options to secure permanency for children; (f) allowing leaders in the adoption field to propose innovative endeavors; and (g) developing strategies for increasing kinship care adoption.

CLOSING DATE: The closing time and date for the receipt of applications under this announcement is 4:30 p.m. (Eastern Standard Time) August 19, 1997. Applications received after 4:30 p.m. will be classified as late.

ADDRESSES: Mail applications to: Department of Health and Human Services, Administration for Children

and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Mail Stop 6C-462, Washington, DC. 20447, ATTN: _____ (Reference announcement number and priority area.)

Hand delivered, Courier or Overnight applications are accepted during the normal working hours of 8 a.m. to 4:30 p.m. EST, Monday through Friday, on or prior to the established closing date at: Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, SW., Washington, DC. 20024, ATTN: _____ (reference number and priority area). Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

FOR FURTHER INFORMATION CONTACT: The ACYF Operations Center Technical Assistance Team at 1-800-351-2293 is available to answer questions regarding application requirements and to refer you to the appropriate contact person in the Children's Bureau for programmatic questions. You may also locate frequently asked questions about this program announcement on the ACYF Website at <http://www.acf.dhhs.gov/programs/cb>.

INTENT TO APPLY: If you are going to submit an application, send a post card or call in the following information: The name, address, and telephone number of the contact person; the name of the organization; and the priority area(s) in which you may submit an application, within two weeks of the receipt of this announcement to: Administration on Children, Youth and Families, Operations Center, 3030 Clarendon Boulevard, Suite 240, Arlington, VA 22201. The telephone number is 1-800-351-2293. This information will be used to determine the number of expert reviewers needed and to update the mailing list of persons to whom the program announcement is sent.

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

The forms to be used for submitting an application are included in Appendix A. Please copy as single-sided

forms and use in submitting an application under this announcement. No additional application forms are needed to submit an application.

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

Outline of Announcement

Part I: General Information

A. Background

B. Statutory Authority Covering This Announcement

C. Availability and Allocation of Funds

Part II: The Review Process and Priority Areas

A. Eligible Applicants

B. Review Process and Funding Decisions

C. Evaluation Criteria

D. Structure of Priority Area Descriptions

E. Available Funds

F. Grantee Share of Project Costs

G. Priority Areas Included in This Announcement

H. Priority Area Descriptions and Requirements

Part III: Information and Instructions for the Development and Submission of Applications

A. Paperwork Reduction Act of 1995

B. Availability of Forms

C. Required Notification of the State Single Point of Contact

D. Deadline for Submission of Applications

E. Instructions for Preparing the Application and Completing Application Forms

1. SF424, page 1, Application Cover Sheet
2. SF424A, Budget Information-Non-Construction Programs
3. Project Summary Description
4. Program Narrative Statement
5. Organizational Capability Statement
6. Part IV—Assurances/Certifications

F. Checklist for a Complete Application

G. The Application Package

Part I. General Information

A. Background

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

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

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

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

The Adoption Opportunities Program, originally enacted in title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Public Law 95-266, and most recently amended by the Child Abuse Prevention and Treatment Act Amendments of 1996, Public Law 104-235, works to eliminate barriers to adoption and provide permanent homes for children who would benefit from adoption. The Adoption Opportunities Program facilitates the elimination of barriers to adoption by: (1) Promoting adoption legislation and procedures in the States and territories of the United States in order to eliminate jurisdictional and legal obstacles to adoption; (2) promoting quality standards for adoption services, pre-placement, post-placement, and post-legal adoption counseling, and standards to protect the rights of the children in need of adoption; and (3) demonstrating expeditious ways to free children for adoption for whom it has been determined that adoption is the appropriate plan. This discretionary program awards grants and contracts to public and private non-profit agencies.

The passage of the Adoption Assistance and Child Welfare Act of 1980, Pub. L. 96-272, resulted in the establishment of the title IV-E adoption assistance program. This entitlement provides funds to States to assist in

paying costs associated with the adoption of children who have special needs, such as being older or disabled. The adoption assistance program encourages and supports permanence for children with special needs in adoptive homes, thereby preventing their inappropriate and excessive stays in foster care. To receive adoption assistance, a child must also be a recipient of or be eligible for Aid to Families with Dependent Children (AFDC), as in effect in the State on June 1, 1995, or Supplemental Security Income (SSI) benefits.

Another major legislative initiative in the area of adoptions, the Multiethnic Placement Act (MEPA), was passed in 1994 and amended in 1996 by the Small Business Job Protection Act, Public Law 104-188. The purposes of MEPA are to decrease the length of time that children wait to be adopted and to prevent discrimination in the placement of children on the basis of race, color, or national origin.

On August 20, 1996, President Clinton signed the Small Business Job Protection Act of 1996 which amended the Multiethnic Placement Act of 1994 (MEPA). Section 1808 of the Small Business Job Protection Act of 1996 is entitled "Removal of Barriers to Interethnic Adoption." The section affirms and strengthens the prohibition against discrimination in adoption or foster care placements. It does this by adding to title IV-E of the Social Security Act a State Plan requirement and penalties which apply both to States and to adoption agencies. In addition, it repeals section 553 of the Multiethnic Placement Act (MEPA), which has the effect of removing from the statute the language which read "Permissible Consideration—An agency or entity (which receives federal assistance) may consider the cultural, ethnic, or racial background of the child and the capacity of the prospective foster or adoptive parents to meet the needs of a child of such background as one of a number of factors used to determine the best interests of a child."

The Interethnic Adoption provisions maintain a prohibition against delaying or denying the placement of a child for adoption or foster care on the basis of race, color, or national origin of the adoptive or foster parent, or the child involved as a civil rights issue, and further add a title IV-E State Plan requirement which also prohibits delaying and denying foster and adoptive placements on the basis of race, color or national origin.

The provisions also subject States and entities receiving Federal funding which are not in compliance with these title

IV-E State plan requirements to specific graduated financial penalties (in cases in which a corrective action plan fails to correct the problem).

The Congress has retained section 554 of MEPA, which requires that child welfare services programs provide for the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of children in the State for whom foster and adoptive homes are needed. This is the section that requires States to include a provision for diligent recruitment in their title IV-B State Plans.

Set forth below is the language of the new provision. Key terms contained in MEPA that have been eliminated are shown in brackets.

A person or government that is involved in adoption or foster care placements may not— (a) [categorically] deny to any individual the opportunity to become an adoptive or a foster parent, [solely] on the basis of the race, color, or national origin of the individual, or of the child involved; or (b) delay or deny the placement of a child for adoption or into foster care [or otherwise discriminate in making a placement decision, solely] on the basis of race, color, or national origin of the adoptive or foster parent, or the child, involved.

On December 14, 1996 President Clinton directed the Secretary of Health and Human Services to conduct wide consultations and report to him with specific recommendations for strategies to move children more quickly from foster care to permanent homes and to meet the goal of at least doubling adoptions and other permanent placement over the next five years. The Department developed *Adoption 2002* as a blueprint for bipartisan Federal leadership in adoption and other permanency planning for children in the public child welfare system. To prepare this report, the Department consulted with child welfare professionals, policy experts, advocates, and foster and adoptive parents at the national, State and local levels. *Adoption 2002* outlines an agenda to overcome barriers to permanence and to accelerate the path to permanency for all waiting children in the public child welfare system. To this end, the Department commits to providing expanded technical assistance, rewarding States for incremental increases in adoption levels with per-child financial bonuses, and otherwise recognizing successful performance.

B. Statutory Authority Covering This Announcement

Title II of the Child Abuse Prevention and Treatment and Adoption Reform

Act of 1978, Public Law 95–266, as amended.

C. Availability and Allocation of Funds

The Administration on Children, Youth and Families proposes to award appropriately 25 new grants in fiscal year 1997 in varying amounts. The total combined funding for the Priority Areas 1.01, 1.02, 1.03, 1.04, 1.05, 1.06 and 1.07 for fiscal year 1997 competitive grants is approximately \$6 million.

Part II. The Review Process and Priority Areas

A. Eligible Applicants

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

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

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

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

B. Review Process and Funding Decisions

The closing time and date for the receipt of the applications is 4:30 p.m.

(Eastern Time Zone) on August 19, 1997. Applications received after 4:30 p.m. will be classified as late. Timely applications received by the deadline date which are from eligible applicants will be reviewed and scored competitively. Experts in the field, generally persons outside the Federal government, will use the appropriate evaluation criteria listed later in this section to review and score the applications. The results of this review are a primary factor in making funding decisions.

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

In making decisions on awards, ACYF may give preference to applications which focus on or feature: Overrepresented populations of children in the Child Welfare system waiting to be adopted; a substantially innovative strategy with the potential to improve theory or practice in the field of human services; a model practice or set of procedures that holds the potential for replication by organizations that administer or deliver human services; substantial involvement of volunteers; substantial involvement (either financial or programmatic) of the private sector; a favorable balance between Federal and non-Federal funds available for the proposed project; the potential for high benefit for low Federal investment; a programmatic focus on those most in need; and/or substantial involvement in the proposed project by national or community foundations.

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

C. Evaluation Criteria

A panel of reviewers (primarily experts from outside the Federal government) will review applications. To facilitate this review, applicants should ensure that they address each

minimum requirement in the priority area description under the appropriate section of the Program Narrative Statement.

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

All applications will be evaluated against the following criteria:

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

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

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

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

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

D. Structure of Priority Area Descriptions

Each priority area description is composed of the following sections:

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

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

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

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

Project Duration: This section specifies the maximum allowable length of time for the project period and refers

to the amount of time for which Federal funding is available.

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

Matching Requirements: This section specifies the minimum non-Federal contribution, either through cash or in-kind match, required in relation to the maximum Federal funds requested for the project. Grantees must provide at least 10 percent of the total cost of the project. The total cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet the match requirements through cash contributions. Therefore, a project requesting \$150,000 in Federal funds (based on an award of \$150,000 per budget period) must include a match of at least \$16,667 (10 percent of total project cost).

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

Catalog of Federal Domestic Assistance Number (CFDA): This section specifies the CFDA Number for the program.

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

E. Available Funds

The ACYF intends to award new grants resulting from this announcement during the fourth quarter of fiscal year 1997, subject to the availability of funds.

Each priority area description includes information on the maximum Federal share of the project costs and the anticipated number of projects to be funded.

The term "budget period" refers to the interval of time (usually 12 months) into which a multi-year period of assistance

(project period) is divided for budgetary and funding purposes. The term "project period" refers to the total time a project is approved for support, including any extensions.

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

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

F. Grantee Share of Project Costs

Grantees must provide at least 10 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$150,000 in Federal funds (based on an award of \$150,000 per budget period) must include a match of at least \$16,667 (10 percent of the total project cost). If approved for funding the grantee will be held accountable for commitments of non-Federal resources, and failure to provide the required amount will result in a disallowance of unmatched Federal funds.

G. Priority Areas Included in This Announcement

- 1.01 Effective Collaborations for Timely Adoptions
- 1.02 Achieving Increased Adoptive Placement of Children in Foster Care
- 1.03 Innovations to Increase Adoptive Placements of Minority Children
- 1.04 Post-Legal Adoption Services
- 1.05 Expanding Options for Permanency
- 1.06 Field Initiated Applications Advancing the State-of-the-Art in the Adoption Field
- 1.07 Kinship Care Adoption

H. Priority Area Descriptions and Requirements

1.01 Effective Collaboratives for Timely Adoptions

Eligible Applicants: States, local government entities, courts, federally recognized Indian Tribes and Indian Tribal Organizations.

Purpose: To develop a system reform project that functions as an extension of the State's Court Improvement activities through which collaborative partnerships are formed between child welfare agencies and the courts to reduce the time that children waiting for an adoptive home remain in foster care by reducing delays in terminating parental rights and finalizing adoptions.

Background Information: The Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, charges child welfare agencies with the responsibility of securing a safe, permanent home for every child who comes into their care. This goal is often delayed by procedures for terminating the parental rights of birth parents for those children for whom adoption has been identified as the most appropriate permanent plan.

Delays in completing terminations of parental rights (TPRs) can often be attributed to a lack of understanding, communication and coordination between the two systems involved with child protection: Child welfare and courts. Social workers often have difficulty gathering and presenting the necessary legal evidence to facilitate a TPR. Lawyers are not experts in social work practice and the clinical issues associated with a significant life-event like TPR and the subsequent execution of a plan for permanency.

In recent years, ACF has awarded grants that focus on reforming child welfare agency practices and the courts. Currently, six grantees are testing the efficacy of non-adversarial approaches to TPR, and 48 States are participating in the Court Improvement project. The non-adversarial approaches being tested include mediation, concurrent planning and voluntary relinquishment. The Court Improvement project provides funding to the highest State court for the purpose of studying State laws and practices that impede the timely execution of child welfare services and permanent plans. Child welfare agencies and the courts are encouraged to collaborate with each other in both grant programs; however, the projects tend to focus primarily on their respective systems and do not require this type of collaboration.

ACF intends to test the efficacy of facilitating collaborations between child

welfare agencies and the courts to reduce the amount of time between initial agency involvement, the execution of a TPR where appropriate, and finalizing an adoption. This project must coordinate with the State's current court improvement efforts, targeted specifically to facilitate timely adoptions.

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

- Demonstrate knowledge of current issues in adoption and permanency for children in the public child welfare field.
- Describe experience with reform approaches, the current status of those initiatives, and how this initiative will build on and complement current reform initiatives.
- Describe specifically how this project integrates with the State's court improvement activities.
- Describe the collaboration including participants, activities, and roles and responsibilities.
- Provide documentation, such as memoranda of understanding, that demonstrates that all parties in the collaboration have committed to their respective roles and responsibilities.
- Describe how this project's reform approaches will be institutionalized.
- Describe the process that will be used to identify children and families in need of these services.
- Provide assurances that project staff know and understand policies, Federal regulations, laws and cultural issues that have impact on permanency for children.
- Describe the training/staff development components of the project.
- Describe an evaluation plan that will focus on the reform approaches and is capable of identifying the successes and failures of the approaches. The evaluation plan should be outcome-oriented and include the collection and analysis of data to ascertain the effectiveness of the collaboration. The evaluation should also include descriptive information on the processes and procedures used in implementing the project.
- Discuss strategies for disseminating information on the effective reform approaches of the project. Identify audiences who will benefit from receiving the information, and specify mechanisms and forums that will be used to convey the information, and support replication by other interested agencies.
- Provide assurances that at least one key person from the project will attend an annual three to five day Child

Welfare Conference in the Washington, DC metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals including Adoption Opportunities and other Children's Bureau discretionary program grantees to exchange information and address current child welfare issues.

- Provide assurances and document that the project will be staffed and implemented within 90 days of the notification of the grant award.
- Provide assurance that 90 days after the project end date, the grantee will submit a copy of the final report, evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

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

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$250,000 per 12-month budget period.

Matching or Cost Sharing Requirements: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$250,000 in Federal funds (based on an award of \$250,000 per budget period) must include a match of at least \$27,778 (10 percent of the total project cost of \$277,778). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

Anticipated Number of Projects to be Funded: It is anticipated that 5 projects will be funded.

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

1.02 Achieving Increased Adoptive Placement of Children in Foster Care

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

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

Background Information: The President announced a new directive to members of his Cabinet to take new

actions to move children more rapidly from foster care to safe, permanent homes. The goal of the President's ambitious new initiative is to double, by the year 2002, the number of children in foster care who are adopted or permanently placed each year. The directive focuses on securing homes for the tens of thousands of children in foster care who cannot return safely to their homes and for whom adoption is a goal.

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

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

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

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

This priority area is designed to provide incentives for States to craft innovative initiatives to secure and sustain permanence for children who are free for adoption. A recent legislative change authorizes projects in this priority area to be approved for 36 months.

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

- Identify and verify the number of children in foster care to be served by the project who are legally free and waiting for adoptive placement.
- Provide and verify the proportion of placement of children in foster care placed in adoption in the year preceding the application (the proportion of placement is the number of children placed divided by the number of children waiting for adoption).
- Describe the measurable improvements to be achieved during the period of the grant and the methods to be employed to increase the proportion of placement of legally-free children in foster care with adoptive families. Improvements should be specified as goals and objectives which are measurable and represent an increase over previous years.
- Describe how the proposed improvements, if successful, would be continued beyond the period of Federal support under this grant as part of the agency's ongoing program and describe the specific steps which would be taken to accomplish this.
- Propose and describe an evaluation plan which will focus on the innovations used to improve the placement of children who are legally free for adoption and which is capable of identifying the successes and failures of the initiative. The evaluation plan should include the collection and analysis of data to determine placement rates and the types of clients served (e.g., waiting children, prospective adoptive families). Statistics should be collected to determine the availability of adoptive families during the program period. The evaluation should also include descriptive information on the processes and procedures used in implementing the project.
- Discuss plans for disseminating information on the strategies utilized and the outcomes achieved. Identify audiences who will benefit from

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

- Provide assurances and document that the project will be staffed and implemented within 90 days of the notification of the grant award.
- Describe how project will deal with non-minority applicants who may respond to the project.
- Provide assurance that 90 days after the project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.
- Provide assurances that at least one key person from the project will attend an annual three to five day Child Welfare Conference in the Washington, DC metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

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

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$150,000 per 12-month budget period.

Matching or Cost Sharing

Requirement: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$150,000 in Federal funds (based upon an award of \$150,000 per budget period) must include a match of at least \$16,667 (10 percent of the total project cost of \$166,667). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

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

1.03 Innovations to Increase Adoptive Placements of Minority Children

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

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

Background Information: According to the Voluntary Cooperative Information System administered by the American Public Welfare Association (VCIS/APWA), in 1994 an estimated 700 children in the U.S. were separated from their biological parents every day and placed in an unfamiliar setting. VCIS also estimated the number of children with a permanency goal of adoption at the end of 1994 as 60,000 and this includes 27,000 legally free or "waiting" children for whom adoptive families are actively being sought. These are children for whom it is difficult to find an adoptive placement because they are not the young people families often seek to adopt. It is estimated that more than 40 percent of the 27,000 children seeking an adoptive placement are 10 years old and older, and more than 58 percent are members of a minority group.

There continues to be an insufficient pool of adoptive families, especially for older minority children and sibling groups for whom adoption has been deemed the preferred means of accomplishing permanence. The purpose of the Adoption Opportunities Program is to facilitate the elimination of barriers to adoption and to provide permanent homes for children with special needs who are older, disabled, of minority heritage, or in sibling groups who should be placed together. In addition, the Multiethnic Placement Act (MEPA) passed in 1994 was, in part, designed to facilitate the identification and recruitment of foster and adoptive parents who can meet the needs of the children waiting for an adoptive family. State agencies to engage in diligent recruitment efforts to develop a pool of families that reflect the racial, ethnic or national origin of the children in care, and/or who can meet the needs of these children.

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

- Identify and describe existing barriers to minority adoption of children over 10 and children who are a part of a sibling group in the locale where the project would be implemented; the number of families who would be recruited; and the number of children over age 10 and the number of sibling groups who would be placed.
- Describe the innovative methods that would be employed to recruit, retain and prepare minority families for adoption of children with special needs, especially older children and sibling groups, making sure to include individuals who are single.
- Provide assurances that the project would not require the payment of fees by families for the adoption process.
- If the applicant is not a child-placing agency, describe the relationship with the child placing agencies and document the contract.
- Describe how training in cultural competence would be provided to all relevant staff to increase their effectiveness in serving minority children and families.
- Present an evaluation plan for assessing the project's effectiveness in achieving its stated goals and objectives, and its ability to provide services to prospective adoptive families through the completion of the adoption.
- Document how the project would be continued beyond Federal funding as part of the agency's ongoing program and describe the specific steps which would be taken to accomplish this.
- If the applicant is a private non-profit adoption agency, it must provide evidence of licensure by submitting a copy of its license with the application.
- Discuss plans for disseminating information on the innovations utilized. Identify audiences who will benefit from receiving the information and specify mechanisms and forums which will be used to convey the information and support replication by other interested agencies.
- Provide assurances that at least one key person from the project will attend an annual three to five day Child Welfare Conference in the Washington, D.C. metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees, to exchange information and address current child welfare issues.

- Provide assurance that 90 days after project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, P.O. Box 1182, Washington, D.C. 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

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

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

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period.

Matching or Cost Sharing

Requirement: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$200,000 in Federal funds (based on an award of \$200,000 per budget period) must include a match of at least \$22,223 (10 percent of the total project cost of \$222,223). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

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

1.04 Post-Legal Adoption Services

Eligible Applicants: States, local government entities, and public or private nonprofit licensed child welfare or adoption agencies. Given limited funds, and in order to generate and financially support the widest possible variety of issues and approaches, priority will be given to applicants that have not been funded under this priority area in previous fiscal years. However, previously funded applicants under this priority area will not be precluded from receiving a grant.

Purpose: To develop or replicate post-legal adoption projects, which will provide services to strengthen and preserve families who have adopted children with special needs. The services provided shall supplement, not supplant, services supported by any

other funds available to the applicant for the same general services.

Background Information: The Adoption Opportunities legislation, as amended by Public Law 100-294, authorizes funds for increased post-legal adoption services. Recognition of special issues in adoption in the past decade has led adoption professionals to reconsider the concept that agency services to adoptive families end with the legal consummation of the adoption. Historically, once the adoption was legally consummated, the newly-formed family was to be considered the same as any other family. Adoption is a life-long process and service providers need to understand the unique interpersonal dynamics of adoption in order to provide effective post legal adoption services (those provided after the legalization of the adoption) to families with special needs children who seek assistance.

Project A.S.K. (Adoption Services Knowledge): A Synthesis of Post-Legal Adoption Projects endeavors to bring adoption professionals and child welfare policy makers abreast of current knowledge on post-legal adoption services. Approximately 70 Adoption Opportunities grants were reviewed in order to synthesize the knowledge gained from these efforts and to develop a list of resources which are available as a result of these projects. A final report describing the types of activities and services developed through the grant projects will be available by July 1997. This report covers services in the following categories: Education and support for adoptive families, training for mental health and other professionals, therapeutic intervention services, respite care, resource development and networking, and addressing the needs of special populations. The final report and a resource directory will be widely disseminated including distribution to adoption specialists in each state, agencies whose grants have been reviewed, the National Resource Center for Special Needs Adoption, and the National Adoption Information Clearinghouse.

ACYF has funded over 100 programs across the country including a synthesis, to provide post-legal adoption services for families who have adopted children with special needs as well as a synthesis of these programs. Information on these projects can be obtained from the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013-1182, telephone: (703) 246-9095.

Funds awarded under this priority area in fiscal year 1998 will support

ongoing post-legal adoption services in communities where such services already exist and will support the development of such services in communities where they do not yet exist. Services funded under this priority area shall be provided to families who have adopted children with special needs.

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

- Propose to provide services such as individual, group and/or family counseling; case management; training of mental health professionals and staff of public agencies and of private, nonprofit child welfare and adoption agencies licensed by the State to provide adoption services; and provide assistance to adoptive parents, adopted children and siblings of adopted children.

- Describe the models that would be developed or replicated and the services that would be provided.

- Describe the existing post-legal adoption services, if any; the need for new services; and plans for the development, implementation, and institutionalization of such services.

- Describe how the proposed project would build upon the existing literature and knowledge base related to post legal adoption services.

- Provide specific written commitments from collaborating or cooperating agencies, if any.

- Document how the program would be continued beyond Federal funding.

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

- Provide assurance that 90 days after project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

- Specify a plan to carry out an independent evaluation of the effectiveness of the demonstration. It is suggested that the applicant should identify a qualified person from a university or research organization who will be involved in the design of the effort and provide ongoing consultation to the project. This would include criteria for case identification, outcomes to be measured, methodology for data

collection, and determining an adequate sample size at each stage of the demonstration, as well as analysis of data and writing of the final report.

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

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

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

Federal Share of Project Costs: The maximum Federal share is not to exceed \$200,000 per 12-month budget period.

Matching or Cost Sharing

Requirements: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACYF share and the non-Federal share. Therefore, a project requesting \$200,000 in Federal funds must include a match of at least \$22,223 (10 percent of the total project cost of \$222,223). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

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

1.05 Expanding Options for Permanency

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

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

Background Information: The Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, mandates securing a safe, permanent home for every child. The child welfare system continues to struggle with

meeting this goal in a timely fashion. The practice base for achieving permanency for children is too often based on adversarial or involuntary methods. The major practice is to seek involuntary termination of parental rights (TPR) for children for whom adoption is considered the best permanency plan. Involuntary termination of parental rights can be a lengthy and expensive process which may involve court appeals. The procedure can also be emotionally stressful for birth, foster and prospective adoptive parents and the child.

Frequently this practice is insensitive to the need of some children to maintain connections with their birth families. Although necessary in some cases, TPR and other practices of a similar tone, have failed to significantly reduce the large number of children in the foster care system waiting to be freed for adoption, to be adopted, or for other permanent arrangements.

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

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

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

Concurrent Planning is the process of workers developing alternative permanent plans for children during their initial contact with the child welfare system. Concurrent planning

involves enacting a plan for family preservation or reunification with the child's birth family, while simultaneously engaging in planning for alternative permanency placements such as adoption and kinship care for children where return home is unlikely.

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

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

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

- Demonstrate knowledge of current issues in adoption and permanency for children in the public child welfare field.
- Describe the project and explain why a particular system reform approach or set of approaches is being selected. Demonstrate knowledge and understanding of the reform approach or approaches selected. If more than one approach is selected, describe how they are linked.
- Describe how the approach(es) to be used in this demonstration differ from current agency practice and how this project's reform approaches will be institutionalized.
- Describe the measurable goals and objectives of the project to be used to determine if the approach selected led to an increase in achieving permanency earlier.
- Describe the process and criteria that will be used to identify children and families in need of these services.
- Describe how the birth families and extended families will be involved in the permanency planning process.
- Provide assurances that project staff are knowledgeable of policies, Federal regulations, laws and cultural issues that impact on permanency for children.
- Provide assurances and document that the project would be staffed and implemented within 90 days of the notification of the grant award.
- Describe the training/staff development components of the project.
- If the project involves coordination with other agencies, present a plan clarifying how these agencies will work

with the applicant to accomplish project goals and objectives.

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

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

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

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

- Provide assurance that 90 days after project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

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

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

Project Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period.

Matching Requirement: Grantees must provide at least 10 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$200,000 in Federal funds (based upon an award of \$200,000 per budget period) must include a match of at least \$22,223

(10 percent of the total project cost of \$222,223). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

CFDA: 93.652 Adoption Opportunities Grants: Title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Pub. L. 95-266, as amended.

1.06 Field Initiated Applications Advancing the State-of-the-Art in the Adoption Field

Eligible Applicants: State, regional or local public child welfare or adoption agencies and voluntary child welfare or adoption agencies or organizations. Voluntary agencies that apply should coordinate their applications with relevant public agencies.

Purpose: To improve adoption services to children with special needs through activities which are not addressed elsewhere in this announcement. This priority area provides public and voluntary agencies and organizations involved in the adoption process with an opportunity to present innovative ideas for improving child welfare and adoption systems that are consistent with the President's Directive on Adoption.

Background Information: Public child welfare workers who provide adoption services are often overburdened because of a shortage of staff and an increasing child welfare caseload. In many public agencies, the adoption staff are expected to provide services not only to children with special needs and their potential adoptive families, but also to families requesting independent, intercountry and other types of adoption services. There is also a rising need to provide post legal adoption services to prevent the disruption and/or dissolution of adoptive placements and preserve adoptive families. Furthermore, agencies are also faced with an increasing responsibility for search and reunion services. This places substantial burdens on the limited adoption agency resources which are needed to serve the children with special needs.

President Clinton has initiated and is committed to efforts to increase the number of children who achieve permanency from the public child welfare system. In December 1996, the President issued a directive on adoption to bring the Federal government into a partnership with States and communities to increase the number of children securing permanency goals in the public

child welfare system. The Department has submitted a report that includes policy and programmatic proposals to double the number of children who achieve permanency over the next five years.

At any given time, approximately 27,000 children are legally free for adoption. Minority children continue to languish in foster care. Older children and sibling groups also continue to present unique challenges. Other sub-populations, such as drug exposed infants and medically fragile infants, will be or are currently testing the capacity of adoption programs. Innovative efforts, such as those embodying the spirit of public-private partnerships, are needed to provide permanent adoptive homes to all waiting children.

There are so many complex and challenging issues that face the public sector in providing permanent homes for children who have special needs. Therefore, ACYF is requesting field initiated proposals with a preference given to those that address areas outlined in the Directive in serving children with special needs for whom adoption is the plan. These proposals must be innovative and cannot be a replication of a previous project or be responsive to other priority areas in this announcement.

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

- Describe the agency's current adoption program and the specific problem(s) that would be addressed.
- Describe the approach that would be used to alleviate the problem(s).
- Provide specific written commitments from cooperating or collaborating agencies, if any.
- Provide for an evaluation of the project and include a discussion of the proposed evaluation design. The evaluation should focus on child and family outcome measures (e.g. number of families recruited, number of children placed, disruption rates, etc).
- Describe how the agency would incorporate successful results of the project into its ongoing program.
- Provide assurances that at least one person from the project would attend an annual three to five day Child Welfare Conference in Washington, DC metropolitan area hosted by the Children's Bureau. The Conference brings together child welfare professionals, including Adoption Opportunities and other Children's Bureau discretionary program grantees to exchange information and address current child welfare issues.

- Provide assurance that 90 days after project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

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

- Describe the reports and/or other products that would be developed under the project, including the types of information that would be presented and the steps that would be undertaken to disseminate and promote the utilization of project products and findings.

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

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period.

Matching or Cost Sharing

Requirements: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACYF share and the non-Federal share. Therefore, a project requesting \$200,000 in Federal funds (based upon an award of \$200,000 per budget period) must include a match of at least \$22,223 (10 percent of the total project cost of \$222,223). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

CDDA: 93.652 Adoption Opportunities Grants: Title II of the Child Abuse Prevention and Treatment Act of 1978, Pub. L. 95-266, as amended.

1.07 Kinship Care Adoption

Eligible Applicants: Public child welfare agencies in cooperation with private foster care and adoption agencies and/or university and social service organizations in cooperation with public and private foster care and adoption agencies.

Purpose: To increase the adoption of children in relative foster care and to remove the barriers to such adoptions within the child welfare system.

Background Information: Relative foster care, also called kinship foster care, has become increasingly common. Although we are learning more about these types of placements, information about these placements is sparse. There is general agreement that children placed with relatives are not returned to their parents or placed in permanent homes as quickly as children in non-relative homes. Some argue that relative placements are more stable than non-related placements. In addition to the limited use of adoption for relatives, agencies are concerned about the appropriate level of supervision, the appropriate certification standards for the relative's home, the permanency goals for the children, and the disparity between cash assistance support payments available to relatives and those allowed under foster care and adoption assistance.

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

- Demonstrate access to an adequate number of children (more than 100) who have already been placed with relatives for more than one year.

- Provide letters of commitment in the application from both foster care and adoption agencies or divisions of these agencies indicating that they would actively participate in the review of cases and assist in the development of criteria for the selection of demonstration cases.

- Specify a plan for the review of cases and the criteria that would be employed in determining the appropriateness of moving to adoption, including the requirement that children selected must be those for whom reunification with birth parents is not possible.

- Propose to develop and test effective methods for moving the case toward an alternative permanent goal, e.g. adoption by relatives currently acting as foster parents; adoption within the kinship group, that is, by other appropriate family members; non-federally subsidized legal guardianship to a relative; or adoption by non-relatives.

- Identify existing barriers within the system which prevent or inhibit the increase of adoptions, or other permanent arrangements as specified above. Barriers may include, but are not limited to, agency and court practices; regulations and policies at the State and Federal level; lack of appropriate knowledge concerning the orientation of relatives to the values of legal adoption; and attitudes, beliefs and values of agency staff, as well as the values,

economic status and other circumstances of relatives which may inhibit or delay the movement of children into permanent adoptive homes or other permanent arrangements.

- Specify a plan to carry out an independent evaluation of the effectiveness of the demonstration. It is suggested that the applicant should identify a qualified person who will provide ongoing consultation to the project. The evaluation plan should be outcome oriented and include the collection of and analysis of data to ascertain the barriers to relative adoptions.

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

- Describe the reports and/or other products that would be developed under the project, including the types of information that would be presented and the steps that would be undertaken to disseminate and promote the utilization of project products and findings.

- Provide assurance that 90 days after project end date, the Grantee will submit a copy of the final report, the evaluation report, and any program products to the National Adoption Information Clearinghouse, PO Box 1182, Washington, DC 20013. This is in addition to the standard requirement that the final program report and evaluation report must also be submitted to the Grants Management Specialist and the Federal Project Officer.

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

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

Federal Share of Project Costs: The maximum Federal share of the project is not to exceed \$200,000 per 12-month budget period.

Matching or Cost Sharing

Requirements: Grantees must provide at least 10 percent of the total cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. Therefore, a project requesting \$200,000 in Federal funds (based on an award of \$200,000 per budget period) must include a

match of at least \$22,223 (10 percent of the total project cost of \$222,223). The non-Federal share may be cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

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

CFDA: 93.652 Adoption Opportunities Grants: Title II of the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Pub. L. 95-266, as amended.

Part III. Instructions for the Development and Submission of Applications

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

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

A. Paperwork Reduction Act of 1995

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

B. Availability of Forms

Eligible applicants interested in applying for funds must submit a complete application including the required forms at the end of this program announcement in Appendix A. In order to be considered for a grant under this announcement, an application must be submitted on the Standard Form 424 (approved by the Office of Management and Budget under Control Number 0348-0043). A copy has been provided. 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. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs" (approved by the Office of Management and Budget under control number 0348-0040). Applicants must sign and return the Standard Form 424B with their application. Applicants must provide a certification regarding lobbying (approved by the Office of Management and Budget under Control Number 0348-0046). Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification (approved by the Office of Management and Budget under control number 0348-0046). Applicants must sign and return the certification with their application.

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

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

Applicants will be held accountable for the smoking prohibition included within Public Law 103-227, Part C Environmental Tobacco Smoke (also known as the Pro-Children's Act of 1994). A copy of the **Federal Register** notice which implements the smoking prohibition is included with the forms. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

All applicants for research projects must provide a Protection of Human Subjects Assurance as specified in Appendix A. If there is a question regarding the applicability of this assurance, contact the Office of Protection from Research Risks of the National Institutes of Health at (301) 496-7041. Those applying for or currently conducting research projects are further advised of the availability of a Certificate of Confidentiality through the National Institute of Mental Health of the Department of Health and Human Services. To obtain more information and to apply for a Certificate of Confidentiality, contact the Division of Extramural Activities of the National Institute of Mental Health at (301) 443-4673.

C. Required Notification of the State Single Point of Contact

The Adoption Opportunities Program is not covered under Executive Order 12372, Intergovernmental Review of Federal Programs. Therefore, notification of the State Single Point of Contact is unnecessary.

D. Deadline for Submission of Applications

The closing time and date for the receipt of applications under this announcement is 4:30 p.m. (Eastern Time Zone) on August 19, 1997. Applications received after 4:30 p.m. will be classified as late.

Deadline: Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade SW, Mail Stop 6C-462, Washington, DC 20447 (Reference Announcement Number and Priority Area). Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date. Applications hand-carried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8 a.m. and 4:30 p.m. at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, SW, Washington, DC 20024, between Monday and Friday (excluding Federal Holidays). Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

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

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

Extension of Deadlines: ACF may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., or when there is a widespread disruption of the mails.

However, if the granting agency does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

E. Instructions for Preparing the Application and Completing Application Forms

Applicants are required to use the Standard Forms, Certifications, Disclosures and Assurances provided under Appendix A.

The SF 424, 424A (approved by OMB under Control Number 0348-0044), 424B, and certifications are included in Appendix A. You should reproduce single-sided copies of these forms from the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page.

Please prepare your application in accordance with the following instructions:

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

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

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

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

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

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

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

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

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

Name and telephone number of the person to be contacted on matters

involving this application (give area code)—Enter the full name (including academic degree, if applicable) and telephone number of a person who can respond to questions about the application. This person should be accessible at the address given here and will receive all correspondence regarding the application.

Item 6. Employer Identification Number (EIN)—Enter the employer identification number of the applicant organization, only provide the prefix and suffix assigned by the DHHS Central Registry System.

Item 7. Type of Applicant—Self-explanatory.

Item 8. Type of Application—Preprinted on the form.

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

Item 10. Catalog of Federal Domestic Assistance Number and Title—Enter the Catalog of Federal Domestic Assistance (CFDA) number assigned to the program under which assistance is requested and its title, as indicated in the relevant priority area description.

Item 11. Descriptive Title of Applicant's Project—Enter the project title. The title is generally short and is descriptive of the project, not the priority area title. Place the priority area number in parenthesis after the main program title.

Item 12. Areas Affected by Project—Enter the governmental unit where significant and meaningful impact could be observed. List only the largest unit or units affected, such as State, county, or city. If an entire unit is affected, list it rather than subunits.

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

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

Items 15. Estimated Funding Levels: In completing 15a through 15f, the dollar amounts entered should reflect, for a 12 month budget period, the total amount requested. If the proposed project period exceeds 17 months, enter only those dollar amounts needed for the first 12 months of the proposed project.

Item 15a. Enter the amount of ACF funds requested in accordance with the preceding paragraph. This amount should be no greater than the maximum amount specified in the priority area description.

Item 15b-e. Enter the amount(s) of funds from non-Federal sources that will be contributed to the proposed project. Items b-e are considered cost-sharing or matching funds. The value of third party in-kind contributions should be included on appropriate lines as applicable.

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

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

Item 16a. Is Application Subject to Review By State Executive Order 12372 Process? This item does not apply to this Announcement and no entry is to be made in this box.

Item 16b. Is Application Subject to Review By State Executive Order 12372 process? No.—Place a check in this box.

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

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

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

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

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

2. SF 424A—Budget Information—Non-Construction Programs. This is a form used by many Federal agencies. For this application, Sections A, B, C, E

and F are to be completed. Section D does not need to be completed.

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

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

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

A separate itemized budget justification for each line item is required. The types of information to be included in the justification are indicated under each category. For multiple year projects, it is desirable to provide this information for each year of the project.

Applicants should refer to the Budget and Budget Justification information in the Program Narrative section in Appendix A.

Personnel—Line 6a. Enter the total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included on line 6h, Other.

Justification: Identify the principal investigator or project director, if known. Specify by title or name the percentage of time allocated to the project, the individual annual salaries, and the cost to the project (both Federal and non-Federal) of the organization's staff who will be working on the project.

Fringe Benefits—Line 6b. Enter the total cost of fringe benefits, unless treated as part of an approved indirect cost rate.

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

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

Justification: Include the name(s) of traveler(s), total number of trips, destinations, length of stay,

transportation costs and subsistence allowances.

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

Justification: Equipment to be purchased with Federal funds must be justified. The equipment must be required to conduct the project, and the applicant organization or its subgrantees must not have the equipment or a reasonable facsimile available to the project. The justification also must contain plans for future use or disposal of the equipment after the project ends.

Supplies—Line 6e. Enter the total costs of all tangible expendable personal property (supplies) other than those included on Line 6d.

Justification: Specify general categories of supplies and their costs.

Contractual—Line 6f. Enter the total costs of all contracts, including (1) Procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations, including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. If the name of the contractor, scope of work, and estimated total costs are not available or have not been negotiated, include on Line 6h, other.

Justification: Attach a list of contractors, indicating the names of the organizations, the purposes of the contracts, and the estimated dollar amounts of the awards as part of the budget justification. Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must complete this section (Section B, Budget Categories) for each delegate agency by agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide backup documentation identifying the name of contractor, purpose of contract, and major cost elements. Applicants who anticipate procurement that will exceed \$5,000 (non-governmental entities) or \$25,000 (governmental entities) and are requesting an award without competition should include a sole source justification in the proposal which at a minimum should include the basis for contractor's selection,

justification for lack of competition when competitive bids or offers are not obtained and basis for award cost or price.

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

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

Other—Line 6h. Enter the total of all other costs. Where applicable, such costs may include, but are not limited to: Insurance; medical and dental costs; noncontractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training costs, including tuition and stipends; training service costs, including wage payments to individuals and supportive service payments; and staff development costs. Note that costs identified as miscellaneous and honoraria are not allowable.

Justification: Specify the costs included.

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

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

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

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

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

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

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

Section C—Non-Federal Resources. This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12, entitled "Totals". In-kind contributions are defined in 45 CFR, part 74 and 45 CFR part 92.

Justification: Describe third party in-kind contributions, if included.

Section D—Forecasted Cash Needs, Not applicable.

Section E—Budget Estimate of Federal Funds Needed For Balance of the Project. This section should only be completed if the total project period exceeds 12 months.

Totals—Line 20. For projects that will have more than one budget period, enter the estimated required Federal funds for the second budget period (months 13 through 24) under column (b) "First". If a third budget period will be necessary, enter the Federal funds needed for months 25 through 36 under (c) "Second". Columns (d) would be used in the case of a 48 month project period. Column (e) would not apply.

Section F—Other Budget Information.

Direct Charges—Line 21, Not applicable.

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

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

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

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

At the bottom of the page, following the summary description, type up to 10

key words which best describe the proposed project, the service(s) involved and the target population(s) to be covered. These key words will be used for computerized information retrieval for specific types of funded projects. Applicants should refer to the instructions in Appendix A—under the Program Narrative Section regarding the project summary.

4. Program Narrative Statement. The Program Narrative Statement is a very important part of an application. It should be clear, concise, and address the specific requirements mentioned under the priority area description in Part II.

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

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

The narrative should be typed double-spaced on a single-side of an 8½" x 11" plain white paper, with 1" margins on all sides, using standard type sizes or fonts (e.g. Times Roman 12 or Courier 10). Applicants should not submit reproductions of larger size paper reduced to meet the size requirement. Applicants are requested not to send pamphlets, brochures, or other printed material along with their application as they pose copying difficulties. All pages of the narrative (including charts, references/footnotes, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with "Objective and Need for Assistance", as page number one.

The length of the application, including the application forms and all attachments, should not exceed 60 pages. Anything over the page limit will not be reproduced and distributed to reviewers. Applicants should understand that the first 60 pages of the application will be reviewed. A page is a single side of an 8½" X 11" sheet of paper. Applicants are requested not to send pamphlets, brochures or other printed material along with their application as these pose xeroxing difficulties. These materials, if submitted, will not be included in the review process if they exceed the page limit criteria. Each page of the application will be counted to determine the total length.

Applicants should respond to the Program Narrative instructions in Appendix A, under the Project Description.

A.2. Objectives and Need for Assistance—This information is

addressed under the Objective and Need for Assistance section (Part II.C.) of this announcement.

A.3. Results and Benefits Expected—This information is addressed in the Results and Benefits section (Part II.C.) of this announcement.

A.4. Approach—This information is addressed under the Approach section (Part II.C) of this announcement.

A.5. Evaluation—This information is addressed in the Approach section (Part II.C) of this announcement.

A.6. Geographic Location—This information is addressed in the Objective and Need for Assistance section (Part II.C) of this announcement.

A.7. Additional Information—This information is addressed in the Staff Background and Organization Experience section (Part II.C) of this announcement.

Note: Item B. Noncompeting Continuation Applications and Item C. Supplemental Requests do not apply to this announcement.

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

6. Part IV—Assurances/Certifications. Applicants are required to file an SF 424B, Assurances—Non-Construction Programs and the Certification Regarding Lobbying. Both must be signed and returned with the application. In addition, applicants must certify their compliance with: (1) Drug-Free Workplace Requirements; (2) Debarment and Other Responsibilities; and (3) Pro-Children Act of 1994. Copies of the assurances/certifications are reprinted in Appendix A and should be reproduced as necessary. A duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances/certifications. A signature on the SF 424 indicates compliance with the Drug Free

Workplace Requirements, Debarment and Other Responsibilities and the Pro-Children Act. A signature on the application constitutes an assurance that the applicant will comply with the pertinent Departmental regulations contained in 45 CFR part 74 or part 92.

F. Checklist for a Complete Application

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

- One original, signed and dated application, plus two complete copies. Applications for different priority areas are packaged separately;
- Application is from an organization which is eligible under the eligibility requirements defined in the priority area description (screening requirement);
- Application length does not exceed 60 pages. A complete application consists of the following items in order:
 - Application for Federal Assistance (SF 424, REV 4-92);
 - Budget Information-Non-Construction Programs (SF 424A, REV 4-88);

- Budget justification for Section B-Budget Categories;
- Table of Contents
- Letter from the Internal Revenue Service to prove non-profit status, if necessary;
- Copy of the applicant's approved indirect cost rate agreement, if appropriate;
- Project summary description and listing of key words;
- Program Narrative Statement (See Part III, Section C);
- Organizational capability statement, including an organization chart;
- Any appendices/attachments;
- Assurances-Non-Construction Programs (Standard Form 424B.); and
- Certification Regarding Lobbying.

G. The Application Package

Each application package must include an original and two copies of the complete application. Each copy should be stapled securely (front and back if necessary) in the upper left-hand corner. All pages of the narrative (including charts, tables, maps, exhibits, etc.) must be sequentially numbered,

beginning with page one. In order to facilitate handling, please do not use covers, binders or tabs. Do not include extraneous materials as attachments, such as agency promotion brochures, slides, tapes, film clips, minutes of meetings, survey instruments or articles of incorporation. Applicants are advised that the copies of the application submitted, not the original, will be reproduced by the Federal government for review.

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

Dated: May 1, 1997.

James A. Harrell,

Acting Commissioner, Administration on Children, Youth and Families.

BILLING CODE 4184-01-P

APPLICATION FOR FEDERAL ASSISTANCE Appendix A

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		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): [][] - [][][][][][][][][][]		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) _____	
		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: [][] - [][][][]		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):			
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: DATE _____	
b. Applicant	\$.00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c. State	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
d. Local	\$.00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
e. Other	\$.00		
f. Program Income	\$.00		
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	

Previous Edition Usable
Authorized for Local Reproduction

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

Instructions for the SF 424

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

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

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

Item and Entry:

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

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

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

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

7. Enter the appropriate letter in the space provided.

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

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

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

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

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

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

13. Self-explanatory.

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

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

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

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

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

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		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					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6 h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

Previous Edition Usable

Authorized for Local Reproduction

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

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

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

Authorized for Local Reproduction

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 the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

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

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

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

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

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

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

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

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

Line 5—Show the total for all columns used.

Section B. Budget Categories

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Program Narrative

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

The program narrative provides a major means by which the application is evaluated and ranked to compete with other applications for available assistance. It should be concise and complete and should address the activity for which Federal funds are requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other

information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources directly related to the proposed project from those which will not be used in support of the specific project for which funds are requested.

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

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

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

A. Project Description—Components

1. Project Summary/Abstract

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

2. Objectives and Need for Assistance

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

3. Results or Benefits Expected

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

4. Approach

Outline a plan of action which describes the scope and detail of how the proposed

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

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

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

5. Evaluation

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

6. Geographic Location

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

7. Additional Information (Include If Applicable)

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

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

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

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

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

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

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

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

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

B. Noncompeting Continuation Applications

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

An abbreviated application consists of:

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

category "other" is used, the specific items supported must be identified.

4. Required certifications.

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

1. Program narrative information explaining significant changes to the original program narrative statement, a description of accomplishments from the prior budget period, a projection of accomplishments throughout the entire remaining project period, and any other supplemental information that ACF informs the grantee is necessary.

2. A full budget proposal for the budget period under consideration with a full cost analysis of all budget categories.

3. A corrective action plan, if requested by ACF, to address organizational performance weaknesses.

C. Supplemental Requests

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

D. Budget and Budget Justification

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

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

The following guidelines are for preparing the budget and budget justification. Both federal and non-federal resources should be detailed and justified in the budget and narrative justification. For purposes of preparing the program narrative, "federal resources" refers only to the ACF grant for which you are applying. Non-Federal resources are all other federal and non-federal resources. It is suggested that for the budget, applicants use a column format: Column 1, object class categories; Column 2, federal budget amounts; Column 3, non-federal budget amounts, and Column 4, total amounts. The budget justification should be a narrative.

Personnel. Costs of employee salaries and wages.

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

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

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

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

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

Equipment. Costs of all non-expendable, tangible personal property to be acquired by the project where each article has a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the applicant organization for financial statement purposes, or (b) \$5,000.

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

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

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

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

Justification: All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. If procurement competitions were held or if a sole source procurement is being proposed, attach a list of proposed contractors, indicating the names of the organizations, the purposes of the contracts, the estimated dollar amounts, and the award selection process. Also provide back-up documentation where necessary to support selection process.

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

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

Construction. Costs of construction by applicant or contractor.

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

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

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

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

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

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

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

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

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

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, grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identify 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 workplace 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 form 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 violation of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, sale, 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, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

Instructions for Certification

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

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that

the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

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

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

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

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

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

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered

transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

* * * * *

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

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

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

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

Instructions for Certification

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

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

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

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

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions

and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

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

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

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

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

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

* * * * *

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

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible,

or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or

State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicated 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.

BILLING CODE 4284-01-P

OMB No. 9999-0020
 OMB No. 0925-0418
 Approved for use through 12/31/97

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

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

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

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

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

This assurance, on file with the Department of Health and Human Services, covers this activity:
 Assurance identification no. M-_____ IRB identification no. _____

This Assurance, on file with (agency/dept.) _____, covers this activity:
 Assurance identification no. _____ IRB identification no. _____ (if applicable)

No assurance has been filed for this project. This institution declares that it will provide an Assurance and Certification of IRB review and approval upon request.

Exemption status: Human subjects are involved, but this activity qualifies for exemption under Section 101 (b), paragraph _____.

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

This activity has been reviewed and approved by the IRB in accordance with the common rule and any other governing regulations and subparts on (date) _____ by: Full IRB Review or Expedited Review.

This activity contains multiple projects, some of which have not been reviewed. The IRB has granted approval on condition that all projects covered by the common rule will be reviewed and approved before they are initiated and that appropriate further certification will be submitted.

8. Comments

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

BILLING CODE 4184-01-C

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

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

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

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant,

loan, or cooperative agreement, the undersigned shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

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

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form—LL, "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 \$100,00 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>1. Type of Federal Action:</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>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For material change only Year _____ Quarter _____</p> <p>date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known.</p> <p>Congressional District, if known</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known</p>
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable:</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i></p>	<p>b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i></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: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>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 for the children's services and that all subgrantees shall certify accordingly.

[FR Doc. 97-13092 Filed 5-20-97; 8:45 am]

BILLING CODE 4184-01-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

Potential Reallotment of Funds for FY 1996 Low Income Home Energy Assistance Program (LIHEAP)

AGENCY: Office of Community Services, ACF, DHHS.

ACTION: Preliminary determination concerning funds available for reallotment.

SUMMARY: Notice is hereby given that a preliminary determination has been made that fiscal year (FY) 1996 Low Income Home Energy Assistance Program (LIHEAP) funds are available for reallotment. Section 2607(b)(1) of the Low Income Home Energy Assistance Act (the Act) Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (42 U.S.C. 8621 *et seq.*), as amended, requires that if the Secretary of the Department of Health and Human Services determines that, as of September 1 of any fiscal year, an amount in excess of certain levels allotted to a grantee for any fiscal year will not be used by that grantee during the fiscal year, the Secretary must notify the grantee and publish a notice in the

Federal Register that such funds may be reallotted to other grantees during the following fiscal year. It has been determined that a total of \$457,022 of FY 1996 funds may be available for reallotment during FY 1997. This determination is based on reports from the District of Columbia, and from the Tanana Chiefs Conference, Inc. (Alaska) and the Association of Village Council Presidents (Alaska), which are Tribal grantees, which were submitted to the Office of Community Services as required by 45 CFR 96.81.

The statute allows grantees who have funds unobligated at the end of the fiscal year for which they are awarded to request that they be allowed to carry over up to 10 percent of their allotments to the next fiscal year. Funds in excess of this amount must be returned to HHS and are subject to reallotment under section 2607(b)(1) of the Act. All of the amounts described in this notice were reported as unobligated FY 1996 funds in excess of the amount that the District and the two Alaska Native Associations [tribes] named above could carry over to FY 1997.

The District of Columbia was notified by certified mail that \$140,762 of its FY 1996 funds may be reallotted. The Association of Village Council Presidents of Alaska was notified by certified mail that \$295,076 of its FY 1996 funds may be reallotted. The Tanana Chiefs Conference, Inc. was notified by certified mail that \$21,184 of its FY 1996 funds may be reallotted. In accordance with section 2607(b)(3), the Chief Executive Officers of the District of Columbia, the Association of Village Council Presidents and the Tanana Chiefs Conference, Inc. have 30 days from the date of the letters to submit comments to: Donald Sykes, Director, Office of Community Services, 370 L'Enfant Promenade, SW., Washington, DC 20447.

That 30-day comment period will expire on June 20, 1997. After considering any comments submitted, the Chief Executive Officers will be notified of the decision, and the decision will also be published in the **Federal Register**. If funds are reallotted, they will be allocated in accordance with section 2604 of the Act and must be treated by LIHEAP grantees receiving them as an amount appropriated for FY 1997. As FY 1997 funds, they will be subject to all of the requirements of the Act, including section 2607(b)(2), which requires that a grantee must obligate at least 90% of its total block grant allocation for a fiscal year by the end of the fiscal year for which the funds are appropriated, that is, by September 30, 1997.

FOR FURTHER INFORMATION CONTACT: Janet M. Fox, Director, Division of Energy Assistance, Office of Community Services, 370 L'Enfant Promenade, SW., Washington, DC 20447; telephone (202) 401-9351.

Dated: May 15, 1997.

Donald Sykes,

Director, Office of Community Services.

[FR Doc. 97-13409 Filed 5-20-97; 8:45 am]

BILLING CODE 4184-01-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Food and Drug Administration

Advisory Committee; Notice of Meeting

AGENCY: Food and Drug Administration, HHS.

ACTION: Notice.

This notice announces a forthcoming meeting of a public advisory committee of the Food and Drug Administration (FDA). The meeting will be open to the public.

Name of Committee: Neurological Devices Panel of the Medical Devices Advisory Committee.

General Function of the Committee:

To provide advice and recommendations to the agency on FDA regulatory issues.

Date and Time: The meeting will be held on June 27, 1997, 9:30 a.m. to 3:30 p.m.

Location: Corporate Bldg., conference room 020B, 9200 Corporate Blvd., Rockville, MD.

Contact Person: G. Levering Keely, Center for Devices and Radiological Health (HFZ-450), Food and Drug Administration, 9200 Corporate Blvd., Rockville, MD 20850, 301-443-8517, or FDA Advisory Committee Information Line, 1-800-741-8138 (301-443-0572 in the Washington, DC area), code 12513. Please call the Information Line for up-to-date information on this meeting.

Agenda: The committee will discuss and vote on a premarket approval application for an implanted stimulator, as an adjunct to drugs, for reducing the frequency of partial onset seizures in adults and adolescents over 12 years of age.

Procedure: Interested persons may present data, information, or views, orally or in writing, on issues pending before the committee. Written submissions may be made to the contact person by June 13, 1997. Oral presentations from the public will be scheduled between approximately 9:30 a.m. to 10:30 a.m. Time allotted for each presentation may be limited. Those