

ACF

Administration for Children and Families

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration on Children, Youth and Families

1. Log No. ADD-IM-97-4

2. Issuance Date: 6/12/97

3. Originating Office: Administration on
Developmental Disabilities

4. Key Word: Welfare Reform

5. Key Word:

INFORMATION MEMORANDUM

TO: Executive Directors, State Developmental
Disabilities Councils
Chairpersons, State Developmental Disabilities
Councils
Directors, State Protection and Advocacy Systems
Directors, University Affiliated Programs

SUBJECT: Announcement for Competing Applications for
Funding Welfare Reform Studies and Analysis

LEGAL AND RELATED

REFERENCES: Federal Register/Vol. 62, No. 102,
Wednesday, May 28, 1997, Department of Health and
Human Services, Administration for Children and
Families, [Program Announcement No. OPRE-97-1]

DISCUSSION: The purpose of this information memorandum is to
provide information on the opportunity to compete
for funding for research, analysis and evaluation
of welfare reform changes from the Office of
Planning Research and Evaluation; the
Administration for Children and Families (ACF);
Department of Health and Human Services (DHHS).
The research will address welfare reform and the
impact on children and families; the experience of
States and localities involved in implementing
changes; or the experiences, responses and impacts
on other entities or programs involved in
implementing changes (see attached program
announcement). The funding is intended to

stimulate research and support a wide range of studies of welfare program changes brought about by the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and the Temporary Assistance for Needy Families (TANF) Program.

The impact of welfare reform on individuals with disabilities and their families is significant. Research is necessary to determine how individuals with disabilities and their families are impacted by welfare reform. It is critical that data is collected on the unique issues facing these individuals and families in order to determine whether welfare programs are inclusive and responsive.

The changing definition of childhood disability will result in the loss of benefits and/or the denial of access to an estimated 315,000 low income children with disabilities. Parents of children with disabilities must respond to TANF work requirements in communities which often have limited options or no options for child care for children with severe disabilities. These parents have the added responsibilities of meeting their child's daily medical and therapy needs and taking their children to frequent appointments for medical care and therapy outside the home. The ability of families to remain intact will depend on the availability of supports and the responsiveness of State, local, and Federal programs. The developmental disabilities network has the capacity to evaluate the responsiveness of welfare reform programs to individuals with disabilities and their families.

Individuals with disabilities who are welfare recipients should have access to inclusive programs and opportunities. This will depend on numerous factors including availability of jobs; employers attitudes; provision of structural, communication, and other types of accessibility and accommodations; adequate transportation, and freedom from discrimination.

The Administration on Developmental Disabilities encourages participation in the Office of Planning Research and Evaluation's request for applications for funding. Our network can work with the welfare reform system in each State to ensure that disability issues are appropriately addressed and to assist in the evaluation and development of effective opportunities and policies which include the issues faced by individuals with disabilities and their families. The closing date for submission of applications is July 28, 1997. Additional information is contained in the attached Federal register.

ATTACHMENT: Federal Register/Vol. 62, No. 102, Wednesday, May 28, 1997

INQUIRIES TO: Regional Administrators, ACF, Regions I-X



Bob Williams
Commissioner
Administration on Developmental
Disabilities

cc: See Attached List

Copy Recipients

Regional Administrators, Regions I-X
Director, Regional Operations Staff, ACF
Executive Director, National Association of Developmental
Disabilities Councils
Executive Director, National Association of Protection and
Advocacy Systems
Consortium Coordinator, Consortium of Developmental Disability
Councils
Executive Director, American Association of University Affiliated
Programs

President) 925 Grand Avenue, Kansas City, Missouri 64198-0001:

1. *Binger Agency, Inc.*, Binger, Oklahoma; to merge with Midstate Bancorp, Inc., Hinton, Oklahoma, and thereby indirectly acquire Legacy Bank TC, Blanchard, Oklahoma, and Legacy Bank, Hinton, Oklahoma.

Board of Governors of the Federal Reserve System, May 22, 1997.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 97-13931 Filed 5-27-97; 8:45 am]

BILLING CODE 6210-01-F

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Sunshine Act Meeting

TIME AND DATE: 11:00 a.m., Monday, June 2, 1997.

PLACE: Marriner S. Eccles Federal Reserve Board Building, C Street entrance between 20th and 21st Streets, N.W., Washington, D.C. 20551.

STATUS: Closed.

MATTERS TO BE CONSIDERED:

1. Personnel actions (appointments, promotions, assignments, reassignments, and salary actions) involving individual Federal Reserve System employees.

2. Any items carried forward from a previously announced meeting.

CONTACT PERSON FOR MORE INFORMATION: Mr. Joseph R. Coyne, Assistant to the Board; (202) 452-3204. You may call (202) 452-3207, beginning at approximately 5 p.m. two business days before this meeting, for a recorded announcement of bank and bank holding company applications scheduled for the meeting.

Dated: May 23, 1997.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 97-14088 Filed 5-23-97; 2:31 pm]

BILLING CODE 6210-01-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

[Program Announcement No. OPRE-97-1]

Availability of Funds and Requests for Applications for Welfare Reform Studies and Analyses

AGENCY: Office of Planning, Research, and Evaluation; ACF; DHHS.

ACTION: Announcement of the availability of funds and requests for

applications for welfare reform studies and analyses (OPRE-97-1).

SUMMARY: The Administration for Children and Families (ACF) announces that competing applications are being accepted for funding to stimulate research and support a wide range of studies and analyses of varied aspects of welfare program changes at the national, state and local levels. This research will address the effects of welfare reform changes on families and children; the experiences of states and localities involved in implementing changes; or the experiences, responses and impacts on other entities or programs involved in implementing changes. Organizations eligible to apply for this Federal funding include public entities; private for-profit organizations (if fee is waived); and public or private nonprofit organizations, including universities. Federal funding under this announcement is intended to support research analysis and evaluation exclusively, not program operation or service provision. Projects funded under this announcement are intended to complement other aspects of the ACF research strategy for welfare reform evaluation and study. Funding under this announcement is intended to stimulate research and support a wide range of studies or components of studies and analyses of welfare program changes brought about by the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, and specifically the Temporary Assistance to Needy Families (TANF) program. Subject to the availability, funding under this announcement is authorized by section 1110 of the Social Security Act governing Social Services Research and Demonstration activities (Catalog of Federal Domestic Assistance 93.647) and is intended to support research analysis and evaluation, not program operation or service provision. ACF anticipates providing up to \$1.95 million for the total group of approved projects in FY 1997 and up to \$750,000 in FY 1998, subject to the availability of funds in each year, and a like amount in succeeding years. We estimate that this level of funding will support 4 to 8 separate projects under this announcement in FY 1997.

CLOSING DATE: The closing date for submission of applications is July 28, 1997. Mailed applications postmarked after the closing date will be classified as late.

MAILING ADDRESS: Lois B. Hodge, Administration for Children and Families, Division of Discretionary Grants—Room 6C-462, 370 L'Enfant

Promenade, S.W., Washington, D.C. 20447.

For hand delivered applications or applications sent via over-night mail services, use: ACF MAIL ROOM—2nd floor. Attn: Lois B. Hodge, Administration for Children and Families, Division of Discretionary Grants, 901 D Street, S.W., Washington, D.C. 20024

FOR FURTHER INFORMATION CONTACT:

Administration for Children and Families; Office of Planning, Research and Evaluation, 370 L'Enfant Promenade, S.W., Washington, DC 20447.

Nancy Campbell (202) 401-5760
Mark Fucello (202) 401-4538

Overview

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 brings historic changes to state control over the design of Federally funded public assistance under title IV-A of the Social Security Act as well as changes regarding how states choose to delegate decisions and administrative control to local agencies and authorities. These changes create the need to explore a broad array of issues to understand the effects on families and the varied institutions involved and to document programs and initiatives put in place to encourage and support self-sufficiency among welfare recipients.

ACF's national strategy for welfare reform research and evaluation is multifaceted, including initiatives such as the State Welfare Reform Evaluation projects, the Child Care Research Partnership projects, the Project on State-Level Child Outcomes, the National Longitudinal Study of Children and Families in the Child Welfare System, and Departmental collaborations on topics such as employment stability and immigration and public assistance. The purpose of this announcement is to stimulate research and augment ongoing studies that are consistent with ACF's multifaceted strategy and address areas not adequately covered by other projects in our welfare reform research and evaluation agenda. While we have identified some specific areas of interest to ACF within this announcement, researchers are encouraged to submit their own ideas and rationale for potential topics. This broad approach will assist ACF in continuing to develop research questions pertinent to welfare reform programs and policies and to fund projects that offer the most promise to adequately address such questions.

Currently, there is a great deal of activity in research institutes and firms,

universities, and philanthropic foundations focused on various aspects of the changes occurring in state and local design of welfare programs. ACF is interested in partnering with such entities and providing support to enhance or expand studies by other funders as well as to provide full support for a range of studies or projects that address some of the most critical questions about outcomes for families and children, program design and implementation at various levels, and program management in the new public assistance environment.

With the changes brought about by enactment of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, and in particular the provisions of the Temporary Assistance to Needy Families (TANF) program, it will be extremely important to policy makers and program administrators at all levels of government to fully understand how programs are implemented, how the culture of welfare offices is changing, how children and families are progressing under new rules and requirements, how specific subgroups or populations are affected, and whether policies and services are effective. Well-executed implementation analyses are important to providing early feedback on the new flexibility accorded to States under TANF as are illustrations of the changing culture of local public assistance offices brought about by TANF. Likewise, the implementation of Tribal TANF programs should be assessed to provide needed feedback. ACF is interested in supporting studies of this type.

We have special interest in studies that aim to understand and monitor family and child well-being, to complement the work being done as part of the Project on State-Level Child Outcomes, because such studies will be critical to increasing knowledge and measuring the success of reforms on family economic independence and child well-being. We encourage additional projects focusing on child outcomes. Further, analyses that can illustrate and examine outcomes for children and families will be needed to answer the array of questions presented about TANF's effects on family self-sufficiency and child well-being.

Understanding the complex issues surrounding the relationship between employment stability and child care is a necessary aspect of measuring the effects of reforms. To supplement the projects to be funded under the ACF Child Care Research Partnership program announcement, analyses that focus on the relationship between child

care and employment, including quality of care and associated child development and well-being, are important.

While State-level evaluations of welfare reform begun under waiver authority and supported through ACF's State Welfare Reform Evaluation initiative will provide very useful information, additional analyses that examine changes resulting from TANF across a spectrum of environments (e.g., neighborhoods, communities, political subdivisions, public and other institutions, service providers) are needed to understand the breadth and scope of welfare reform that is being undertaken and its effects on other entities and programs.

As an important part of ACF's national strategy for welfare reform evaluation and analysis, we intend to fund projects through this announcement to address questions not adequately addressed elsewhere in other ACF research and evaluation projects, such as those noted above. Under this announcement we expect to fund a varied group of projects that complement those efforts and provide information on program implementation, address a range of program and policy questions of importance to states, the Federal government and the general public, and examine family and child well-being.

This program announcement consists of three parts. Part I describes the activities supported by this announcement and application requirements. Part II describes the application review process. Part III provides information and instructions for the development and submission of applications. The forms to be used for submitting an application follow Part III.

Part I—Project Purpose and Design Purpose

The primary purpose of this announcement is to stimulate research to further ACF's national strategy for welfare reform evaluation and analysis by supporting short-term and multi-year studies and evaluations (or components of such projects) to document and examine the experience of state or local agencies in implementing welfare reform and to better understand the effects of welfare reform on low-income children and families. A wide range of well-designed studies and evaluations will be considered under this announcement. We may provide principal or possibly sole funding for short-term, small-scale projects, such as process studies to provide rapid

feedback on TANF implementation or the implementation of programs or services aimed at assisting families to obtain employment or respond to other aspects of welfare reform.

Through the short-term studies, we are particularly interested in obtaining information about the implementation and effects of innovative initiatives to help welfare families become self-sufficient but the study of other topics will also be considered. Through the multi-year projects, we are primarily interested in supporting supplements or enhancements to existing studies funded by others in order to address important questions regarding agencies, communities, and low-income families and children affected by welfare reform which may not otherwise be included in an existing study. ACF will also consider fully funding multi-year studies subject to the availability of funds and agency research priorities; however, we do not expect to provide full funding for large-scale, multi-year impact studies.

The studies may be descriptive in nature, collecting and reporting on information about the characteristics of individuals and organizations involved with and affected by welfare reform. They may examine the effects of specific welfare reform policies (e.g., work requirements or time limits) or address a broad range of welfare reform issues and outcomes. They may be focused on specific geographic areas or include multiple sites. They may document the effects of welfare reform over time at various levels (e.g., national, state, local, community, family and individual) or provide a quick report on the early stages and effects of reform initiatives.

ACF's interests in TANF implementation (at the state, local, and Tribal levels); child and family outcomes and well-being; and welfare office culture change are not the only research topics for which funding will be provided under this announcement. We invite a broad response to this announcement for well-designed studies which can be expected to add significantly to the research knowledge base. We wish to partner with those supporting well-designed evaluations or analyses which are currently planned or under way in the research and evaluation community so that we may consider funding types of studies that expand the agenda we have outlined here.

Project Design

As discussed above, funding under this announcement is expected to be used to support studies and evaluations which differ from one another in focus,

scope and scale. State and local welfare agencies, policy makers, and the general public will benefit greatly from a very broad range of different types of public assistance research projects. For that reason ACF does not prescribe here specific research or evaluation designs, but rather we invite varied approaches to advance understanding of welfare reform and child and family functioning. While the research methods for studies submitted may differ, they must be well designed and the project's methods must be adequate and appropriate to address the questions identified for the study. As discussed in the Review Criteria section below, applicants must have experience and a proven track record in conducting studies of the scope and scale proposed. In making decisions, ACF will consider an applicant organization's experience as well as the experience and qualifications of researchers and staff.

As indicated above, we expect to support projects which address different and varied issue areas. Below are some general topics of interest to ACF which are intended to be illustrative only. We invite and expect proposals focused on other issue areas as well.

We are interested in answering questions related to the public assistance programs put in place, the agencies operating the programs and changes in their organizational culture, the community environment and the participants and families involved.

Important questions need to be addressed regarding time limits as they relate to organizational entities and to individuals and families. From a state/local agency perspective, a study might seek to understand what state/local welfare agencies are doing to assist families subject to time limits to gain adequate employment before losing their cash benefits or how the provisions are being implemented and explained at the worker level. It is important to understand the implications and effects of the time limit on other service providers and other service delivery systems. And it is critically important to examine the response of individuals to the time limits and the effects on families and children.

Issues surrounding work are critically important and many important questions exist. These might include questions regarding the operation and effects of policies to move recipients into jobs and help them retain employment, policies to increase employment through linkages or subsidies to employers, and policies intended to effect behavior such as sanctions and disregards.

In addition, other issues related to employment such as supportive services and service coordination are important topics. How are critical aspects of child care being addressed in different programs? Are child care supply and demand, accessibility, costs, and quality factors in supporting families' entry into the work force?

ACF is interested in studies that address important questions about the progress of individuals with special needs. There is a strong need to develop and study models for addressing domestic violence within welfare families. ACF is interested in helping to provide credible information about promising service approaches and strategies in this area.

With requirements to move TANF recipients into the unsubsidized labor force, many programs may exempt individuals with disabilities or their parents from mandatory work and training activity or other program requirements. The result could be that these individuals would lose the opportunity to become self-sufficient and the public assistance community would miss an opportunity to learn how to improve services to disabled recipients and children to better enable families to move toward productive work. ACF is interested in building on the current knowledge about how to assist and integrate families with disabled people into the work force and help them confront obstacles to self-sufficiency.

Under TANF, many teen parents will require alternate adult-supervised living arrangements (e.g. Second Chance Homes) and other services when they cannot live at home. Analysis and evaluation of transitioning into independent living arrangements will be necessary to the success of welfare reform for these young parents at risk. Analysis and evaluation of programs and policies focused on school attendance requirements and successful transition from school to work are also needed.

Another issue area that should be addressed concerns innovative service delivery systems or methods (e.g., home visiting; neighborhood saturation via linkages and collaborations among multiple agencies; and integrated service delivery systems). In addition, questions about improving the material, emotional, and developmental well-being of children via fathers' role in children's and families' lives are also important.

Further, it is important to understand how local jurisdictions, Tribal organizations, and welfare offices have responded to different state approaches

to implementing TANF, including how differences in implementation may affect family outcomes. This may include issues related to changes in the culture of welfare offices in response to TANF, family outcomes in special jurisdictions such as reservations, and changes in the management of program components under TANF now operated by different providers, including Tribes, or sectors of the community (e.g., public, for-profit contractor, non-profit service providers).

These topics are illustrative of some of the areas of interest to ACF and are consistent with its overall welfare reform research and evaluation agenda. This announcement seeks to stimulate sound research, evaluation and study of a wide range of topical areas related to welfare reform and a variety of study designs that aim to answer different sorts of questions about policy, service management and delivery, and outcomes for family and child well-being. ACF's purpose is to further its welfare reform research and evaluation agenda by supplementing and complementing other research projects through this announcement by providing sole funding in some cases and by entering into partnerships in other cases with local and national public and private funders.

Eligible Applicants

Organizations eligible to apply for financial assistance under this announcement include public entities; private for-profit organizations (if fee is waived); and public or private nonprofit organizations, including universities. Any nonprofit organization submitting an application must submit proof of its nonprofit status in its application at the time of submission. The nonprofit 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.

While a variety of organizations and entities are eligible to apply for funding under this announcement, potential applicants should carefully review the Review Criteria in Part II to determine that they meet the requirements for experience and expertise for conducting rigorous, well-designed evaluations and studies of the type and scope discussed herein. Applicants are reminded that funding under this announcement is not

available to support programs or service provision but rather research and evaluation.

Funding Instruments—Grants and Cooperative Agreements

ACF will issue the Financial Assistance Awards under this agreement as either grants or cooperative agreements. Cooperative agreements will be the instrument used to make awards when the amount of Federal involvement that is anticipated by ACF for a particular project is greater than is required and allowed under a grant. Cooperative agreements will be documents which outline the terms of ACF's involvement as well as the responsibilities of the recipient organization or agency. For example, multi-year awards may begin as cooperative agreements in the first year and may be converted to grants after recipients' capabilities have been established or a grant could be converted to a cooperative agreement when developments in a particular project call for greater ACF involvement.

Funding

ACF anticipates providing up to \$1.95 million for the total group of approved projects in FY 1997, subject to the availability of funds. All grants and cooperative agreements will be awarded by September 30, 1997. ACF anticipates providing up to \$750,000 in FY 1998, subject to the availability of funds, and like amounts in succeeding years. We estimate that this level of funding will support 4 to 8 separate projects under this announcement in FY 1997 (some of which will be parts of other, larger work). Federal funding under this announcement is intended to support research analysis and evaluation, not program operation or service provision.

As indicated, ACF anticipates funding both short-term projects and longer-term studies. In Federal FY 1997 recipients of multi-year awards may be approved for project periods of up to 60 months and will receive an initial Financial Assistance Award for a budget period of 12 months. Multi-year project recipients will be allowed to apply for additional funding in FY 1998 and subsequent years within the overall project period on a non-competitive basis.

We also encourage short-term projects which can provide useful and timely information to program administrators, e.g., implementation analysis. For these studies, we expect to make one-time awards for project and budget periods of 17 months. Applicants who are seeking funds to support short-term studies will be expected to complete the work

within a maximum of 17 months. Studies which cannot be completed within that time frame will be considered for multi-year awards as described above.

We may provide sole funding for projects, provide principal funding, or support only individual components of projects which have other funders. The latter types of applications (i.e., those with other funding sources) should include an overview of the funding sources for all components of the project in addition to the Federal budget requirements detailed in Section III of this announcement.

Further, to maximize the benefit of the Federal investment to advance knowledge about welfare reform, ACF may give preference to applicants who provide evidence of other sources of funding for the project (e.g., applicant resources or private foundation funding). The applicant should describe the level, sources, and duration of non-Federal funds or resources committed to the project. Do not, however, list these funds on the budget forms SF 424 and SF 424A described in section III of this announcement. Those forms are for listing only the Federal funds requested under this announcement. There is no non-Federal matching requirement for this announcement; however, recipients will be held accountable for any non-Federal share listed on the SF 424A and the Financial Assistance Award. For this reason, it is important that applicants who provide evidence of other sources of funding for the project do not list these sources on the SF 424A.

Part II—The Review Process

A. Review Process and Funding Decisions

Timely applications from eligible applicants will be reviewed and scored competitively. Reviewers will use the evaluation criteria listed below to review and score the application.

In addition, ACF may refer applications for review to other Federal or non-Federal entities when it is determined to be in the best interest of the Federal Government or the applicant. It may also solicit comments from ACF Regional Office staff, other Federal agencies, and, if determined to be appropriate, interested foundations and national organizations. These comments along with those of the reviewers will be considered by ACF in making the funding decision.

In making award decisions, ACF will aim to fund a group of studies that together address a wide range of questions of the greatest importance to

states, the Federal government, and the general public. In order to ensure that a wide array of questions, topics, and policy issues will be addressed through projects funded under this announcement, in making the final selections, in addition to the review criteria identified below, ACF may consider additional factors including geographic diversity, racial/ethnic populations served, opportunities to analyze particular sub-groups of the public assistance population, and the particular TANF provisions under examination.

Further, as noted under Funding above, to maximize the benefit of the Federal investment to stimulate research and advance knowledge about welfare reform, ACF may give preference to applicants who provide evidence of other sources of funding for the project (e.g., applicant resources or private foundation funding).

Disposition of Applications

On the basis of the review of an application, ACF will: (a) Approve the application for funding; or (b) disapprove the application; or (c) approve the application but not fund it for such reasons as a lack of funds or a need for further review.

B. Evaluation Criteria

Using the evaluation criteria below, reviewers will review and score each application. Reviewers will determine the strengths and weaknesses of each application in terms of the appropriate evaluation criteria listed below, provide comments, and assign numerical scores. The point value following each criterion heading indicates the maximum numerical weight that each criterion may be given in the review process.

(1) Organizational Experience, Skills, and Responsibilities

(25 points) The application should provide evidence of the organization's experience in conducting the sort of research analysis proposed. This experience should include background in research on populations receiving public assistance, i.e., title IV-A program benefits, Food Stamps, Medicaid, employment and training program systems, child care subsidies, etc. The application should list key individuals who will work on the project, including all professional staff and (if known) any contractor staff, along with a short description of the nature of their contribution and relevant staff experience.

If more than one agency or organization will conduct the study, the application should identify the

managing organization (i.e., the entity applying for the Financial Assistance Award) as well as other organizations involved. The application should address each organization's experience with regard to this criterion.

If the research is to be conducted in specific sites or with specific organizations, evidence of commitment by appropriate entities to participate fully, as defined by the project design, to support the requirements of the research (e.g., provide data, participate in interviews) must be included in the application.

(2) *Research Questions*: (25 points) The application must include the principal questions to be addressed by the study and the research hypotheses related to those questions, if appropriate. If the application to ACF is for funding of a particular component of a larger study, the applicant should describe the objective of the entire study and explain in detail the questions to be addressed by the activities for which ACF funding is requested. The application will be judged on the extent to which the questions identified include important unanswered questions regarding welfare reform or address areas in which additional information is most critically needed.

(3) *Project Design*: (40 points) The application should describe in detail the project's methods for answering the research questions proposed. Explain why the methods proposed are adequate to address the research questions. Note any weaknesses in the proposed research design and what will be done to compensate for those weaknesses. The application will be judged on the extent to which the evaluation project design (i.e., methods) proposed is adequate and appropriate to measure the key outcomes identified and answer the research questions posed in the application.

(4) *Budget Appropriateness*: (10 points) The application should include a narrative justification for budget items and demonstrate that the project's costs are reasonable and necessary to support the specific project design and evaluation methods proposed and in view of the anticipated results and benefits. Applicants should refer to the budget information presented in the Standard Forms 424 and 424A.

Part III—Instructions for the Development and Submission of Applications

This part contains information and instructions for submitting applications in response to this announcement. The forms to be used for submitting an application follow this part. Please

reproduce single-sided copies of the forms and type your information onto the copies. Do not use forms directly from the Federal Register announcement, as they are printed on both sides of the page.

The SF-424 and the SF-424A are available in .PDF file format at <http://mercury.psc.dhhs.gov/forms/sforms.htm>. They are also available through FTP at <ftp://aosftp.psc.dhhs.gov/pub/forms/sf/>.

This part concludes with a checklist for assembling an application package.

A. Deadline for Submittal of Applications

The closing date for submission of applications is July 28, 1997. Mailed applications postmarked after the closing date will be classified as late.

Deadline

Mailed applications shall be considered as meeting an announced deadline if they are either received on or before the deadline date or sent on or before the deadline date and received by ACF in time for the independent review to: U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit Resolution, Attention: Lois B. Hodge, 370 L'Enfant Promenade, S.W., Mail Stop 6C-462, Washington, D.C. 20447.

Applicants must ensure that a legibly dated U.S. Postal Service postmark or a legibly dated, machine produced postmark of a commercial mail service is affixed to the envelope/package containing the application(s). A postmark from a commercial mail service must include the logo/embellish of the commercial mail service company and must reflect the date the package was received by the commercial mail service company from the applicant. Private Metered postmarks shall not be acceptable as proof of timely mailing. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

Applications handcarried by applicants, applicant couriers, or by other representatives of the applicant shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m., EST, at the U.S. Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants and Audit Resolution, ACF Mailroom, 2nd Floor Loading Dock, Aerospace Center, 901 D Street, S.W., Washington, D.C. 20024, between Monday and Friday (excluding Federal holidays). The address must appear on the envelope/package

containing the application with the note "Attention: Lois B. Hodge. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)"

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

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 and hurricanes, widespread disruption of the mails, or when it is anticipated that many of the applications will come from rural or remote areas. However, if ACF does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

B. Instructions for Preparing the Application

In order to assist applicants in completing the application, the Standard Forms 424 and 424A and required certifications have been included at the end of Part III of this announcement. 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.

Item 1. "Type of Submission"—Non-Construction.

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

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

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

Item 5. "Applicant Information"—"Legal Name"—Enter the legal name of applicant organization. For applications developed jointly, enter the name of the lead organization only. There must be a single applicant for each application. The applicant identified will be the entity to which an award under this

announcement will be issued, if the application is approved.

"Organizational Unit"—Enter the name of the primary unit within the applicant organization which will actually carry out the project activity. 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 and telephone number of a person who can respond to questions about the application. This person should be accessible at the address given.

Item 6. "Employer Identification Number (EIN)"—Enter the employer identification number of the applicant organization, as assigned by the Internal Revenue Service, including, if known, the Central Registry System suffix.

Item 7. "Type of Applicant"—Self-explanatory.

Item 8. "Type of Application"—New

Item 9. "Name of Federal Agency"—DHHS/ACF

Item 10. "Catalog of Federal Domestic Assistance Number"—93.647

Item 11. "Descriptive Title of Applicant's Project"—Welfare Reform Studies and Analyses—OPRE 97-1

Item 12. "Areas Affected by Project"—Self-explanatory

Item 13. "Proposed Project"—Enter the proposed start date for the project and projected completion date. (Note: it is likely that most awards will not be made prior to September 1, 1997 and all project start dates must be within Federal fiscal year 1997 (i.e., before September 30, 1997).)

Item 14. "Congressional District of Applicant/Project"—Enter the number of the Congressional district where the applicant's principal office is located.

Items 15 "Estimated Funding Levels"—

In completing item 15, enter *only* the dollar amount of Federal funds requested for the first 12 months of the award in box 15a. Note: if applicant is applying for a one-time, short-term study, the amount of Federal funds requested for the full period, up to a maximum of 17 months, should be entered in 15a. Boxes 15b, 15c, 15d, 15e and 15f should be left blank. Box 15g should equal the amount listed in box 15a.

The amount listed in 15a should be no greater than the maximum amount available under this announcement for the initial 12-month budget period or for short-term studies, for the full project period, up to the maximum 17 month period.

The total Federal budget proposed, as listed in 15a and 15g, should be inclusive of any indirect costs.

Item 16. "Is Application Subject to Review By State Executive Order 12372 Process?"

Check "No." We have determined that this program announcement is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs, because it is a program that is national in scope and does not directly affect State and local governments. Applicants are not required to seek intergovernmental review of their applications within the constraints of E.O. No 12372.

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.

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, and E are to be completed. Sections C and D do not need to be completed.

Section A—Budget Summary.

Line 1:

Column (a): Enter "Welfare Reform Studies and Analyses—OPRE 97-1";

Column (b): Enter 93.647

Columns (c) and (d): Leave blank.

Column (e): enter the appropriate amounts needed to support the project for the first 12-month budget period or if applying for a one-time award to support a short-term study, enter the amount needed to support the project up to the maximum 17 month period.

Column (f): leave blank

Column (g): Same amount entered into (e)

Section B—Budget Categories. This budget should include *only* the Federal funding for the proposed project for the first 12-month budget period or for up to a 17-month period if applying for one-time support for a short-term study. The total budget should equal item 15g, total funding, on the SF 424 (cover sheet). Under column (5), enter the same amounts by object class category entered in column (1). Columns (2), (3), and (4) should remain blank.

A separate budget justification should be included to explain fully and justify major items, as indicated below. The types of information to be included in the justification are indicated under each category. The budget justification should immediately follow the second page of the SF 424A.

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

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

Fringe Benefits—Line 6b. Enter the total costs of fringe benefits.

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

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

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

Equipment—Line 6d. Enter the total costs of all equipment to be acquired by

the project. For grants governed by the administrative requirements of either 45 CFR part 92 or 45 CFR part 74, equipment is defined as tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

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

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

Justification: Specify general categories of supplies and their costs.

Contractual—Line 6f. Enter the total costs of all contracts, including procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and contracts with secondary recipient organizations. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

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 project to another agency, the applicant/grantee must complete this section (Section B, Budget Categories) for each delegate agency by agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide backup documentation identifying the name of contractor, purpose of contract, and major cost elements.

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

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

staff development costs. Note that costs identified as "miscellaneous" and "honoraria" are not allowable.

Justification: Specify the costs included.

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

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

Local and State governments should enter the amount of indirect costs determined in accordance with HHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be charged again as direct costs to the grant. In the case of training grants to other than State or local governments (as defined in title 45, Code of Federal Regulations, part 74), the Federal reimbursement of indirect costs will be limited to the lesser of the negotiated (or actual) indirect cost rate or 8 percent of the amount allowed for direct costs, exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations.

Justification: Enclose a copy of the indirect cost rate agreement, if indirect costs are requested.

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

Program Income—Line 7. Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. As stated under *Eligible Applicants* above, private for-profit entities must waive any fees in order to compete for these funds.

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

Section C—Non-Federal Resources. Not applicable—Leave blank. However, as noted in the program announcement, applicants which are utilizing multiple funders should include a discussion or presentation of such funding in the application.

Section D—Forecasted Cash Needs. Enter the amount of cash needed by quarter from the award made by ACF during the first year.

Section E—Budget Estimate of Federal Funds Needed For Balance of the Project. ACF expects to make funds available for approved project period up

to 60 months. In this section, provide annual estimates of the Federal funds needed for the balance of the project.

Justification: Describe the anticipated use of latter year project expenses in the Project Narrative Statement.

Section F—Other Budget Information. Not applicable—Leave blank.

3. Project Narrative Statement

The Project Narrative Statement should be clear, concise, and address the issues mentioned under Part I and should address how the application meets the evaluation criteria described in section B of Part II. The applicant should follow the sequence of the review criteria below (as outlined in section B, part II) when composing the project narrative.

- (a) Organizational Experience, Skills, and Responsibilities:
- (b) Research Questions
- (c) Project Design
- (d) Budget Appropriateness

The narrative should be typed double-spaced. There is no page limitation, but all pages of the narrative (including charts, references, footnotes, tables, maps, exhibits, appendices, etc.) must be sequentially numbered. Please do not use covers, binders, or tabs.

4. Assurances/Certifications

Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs." Applicants must sign and return the Standard Form 424B with their applications.

Applicants must provide a certification regarding lobbying when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications.

Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants who have used non-Federal funds for lobbying activities in connection with receiving assistance under this announcement shall complete a disclosure form to report lobbying. Applicants must sign and return the disclosure form, if applicable, with their applications.

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, the applicant is providing the certification regarding environmental tobacco smoke and need not mail back the certification with the applications.

Applicants must make the appropriate certification of their compliance with

the Drug-Free Workplace Act of 1988. By signing and submitting the application, the applicant is providing the certification and need not mail back the certification with the applications.

Applicants must make the appropriate certification of their compliance with the Pro-Children Act of 1994. By signing and submitting the application, the applicant is providing the certification and need not mail back the certification with the application.

Copies of the certifications and assurances are attached. Please reproduce single-sided copies of the forms. Do not use forms directly from the Federal Register announcement, as they are printed on both sides of the page. A duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances and certifications.

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.

D. Submitting the Application

Each application package must include an original and two copies of the complete application. All pages of the narrative (including charts, tables, maps, exhibits, etc.) must be sequentially numbered and unbound. In order to facilitate handling, Please do not use covers, binders, or tabs.

E. Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, Public Law 104-13, the Department is required to submit to OMB for review and approval any reporting and recordkeeping requirements in regulations, including

Program Announcements. 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. This Program Announcement does not contain information collection requirements beyond those approved for ACF grant announcements/applications under OMB Control Number OMB-0970-0139.

F. Intergovernmental Review

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

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

Under 45 CFR 100.8(a)(2), a SPOC has sixty (60) days from the application deadline to comment on proposed new or competing continuation awards.

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

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

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Mail Stop 6C-462, Washington, DC 20447.

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

G. Checklist for a Complete Application

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

- One original application, signed and dated, plus two copies—without covers, binders, or tabs.
- A complete application consists of the following items in this order:
 - Application for Federal Assistance (SF 424);
 - Assurances—Non-construction programs (SF 424B); and
 - Certification Regarding Lobbying.
 - Budget Information—Non-construction programs (SF 424A);
 - Budget Justification for SF 424A Section B—Budget Categories;
 - Copy of the applicant's approved indirect cost rate agreement, if appropriate;
 - Project Narrative that addresses and follows the sequence of the Evaluation Criteria in Part II section B.

Dated: May 21, 1997.

Howard Rolston,

Director, Office of Planning, Research and Evaluation.

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"/> Preapplication <input type="checkbox"/> Non-Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE		State Application Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code):	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		9. NAME OF FEDERAL AGENCY:	
11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):	
13. PROPOSED PROJECT Start Date Ending Date		14. CONGRESSIONAL DISTRICTS OF: 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	
c. State	\$.00	
d. Local	\$.00	
e. Other	\$.00	
f. Program Income	\$.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
g. TOTAL	\$.00	
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

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Standard Form 424 (REV 4-82)
Prescribed by OMB Circular A-102

BILLING CODE 4184-01-C

Instructions for the SF 424

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

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

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

Item and Entry

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

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

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

6. Enter Employer Identification Number (EIN) a 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

BUDGET INFORMATION — Non-Construction Programs

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

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

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:	

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

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, Section 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 9(e) and (f).

For supplemental grants and changes in 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.

Lines 6a-1—Show the totals of Lines 6a to 6h in each column.

Line 6i—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 (0346-0043), Washington, DC 20503.

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

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

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

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

Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

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

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

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

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

Species Act of 1973, as amended, (P.L. 93-205).

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

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

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

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

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

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

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

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

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, 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 or records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was

erroneous when submitted or had become erroneous by reason of changed circumstances.

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

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

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

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

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

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

* * * * *

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

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

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

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

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

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

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

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

local unemployment office, performers in concert halls or radio studios).

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

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

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

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

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

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subcontractors 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 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—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Organization

Date

SELLING CODE 4184-01-C

DISCLOSURE OF LOBBYING ACTIVITIES

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

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

Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

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

Appendix B—OMB State Single Point of Contact Listing**Arizona**

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315, FAX: (602) 280-8144

Arkansas

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

California

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

Delaware

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

District of Columbia

Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717 14th Street, N.W.—Suite 500, Washington, D.C. 20005, Telephone: (202) 727-6554, FAX (202) 727-1617

Florida

Florida State Clearinghouse, Department of Community Affairs, 2740 Centerview Drive, Tallahassee, Florida 32399-2100,

Telephone: (904) 922-5438, FAX: (904) 487-2899

Georgia

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

Illinois

Virginia Bova, State Single Point Of Contact, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, FAX: (312) 814-1800

Indiana

Frances Williams, State Budget Agency, 212 State House, Indianapolis, Indiana 46204-2796, Telephone: (317) 232-5619, FAX: (317) 233-3323

Iowa

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

Kentucky

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

Maine

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

Maryland

William G. Carroll, Manager, State Clearinghouse for Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104, Baltimore, Maryland 21201-2365, Staff Contact: Linda Janey, Telephone: (410) 255-4490, FAX: (410) 225-4480

Michigan

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4266, FAX: (313) 961-4869

Mississippi

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

Missouri

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

Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson

City, Nevada 89710, Telephone: (702) 687-4065, FAX: (702) 687-3983

New Hampshire

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

New Mexico

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

New York

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone: (518) 474-1605, FAX: (518) 486-5617

North Carolina

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

North Dakota

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

Ohio

Larry Weaver, State Single Point of Contact, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411

Please direct correspondence and questions about intergovernmental review to: Linda Wise, Telephone: (614) 466-0698, FAX: (614) 466-5400.

Rhode Island

Kevin Nelson, Review Coordinator, Department of Administration, Division of Planning, One Capitol Hill, 4th Floor, Providence, Rhode Island 02908-5870, Telephone: (401) 277-2656, FAX: (401) 277-2083

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

South Carolina

Rodney Grizzle, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street—Room 331, Columbia, South Carolina 29201, Telephone: (803) 734-0484, FAX: (803) 734-0356

Texas

Tom Adams, Governors Office, Director, Intergovernmental Coordination, P.O. Box 12428, Austin, Texas 78711, Telephone: (512) 463-1771, FAX: (512) 463-1888

Utah

Carolyn Wright, Utah State Clearinghouse, Office of Planning and Budget, Room 116, State Capitol, Salt Lake City, Utah 84114,

Telephone: (801) 538-1535, FAX: (801) 538-1547

West Virginia

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

Wisconsin

Jeff Smith, Section Chief, State/Federal Relations, Wisconsin Department of Administration, 101 East Wilson Street—6th Floor, P.O. Box 7868, Madison, Wisconsin 53707, Telephone: (608) 266-0267, FAX: (608) 267-6931

Wyoming

Matthew Jones, State Single Point of Contact, Office of the Governor, 200 West 24th Street, State Capital, Room 124, Cheyenne, Wyoming 82002, Telephone: (307) 777-7448, FAX: (307) 632-3909

Territories

Guam

Mr. Giovanni T. Sgambelluri, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agaña, Guam 96910, Telephone: 011-871-472-2285, FAX: 011-871-472-2825

Puerto Rico

Norma Burgos/Jose E. Caro, Chairwoman/Director, Puerto Rico Planning Board, Federal Proposals Review Office, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-1119, Telephone: (809) 727-4444, (809) 723-6190, FAX: (809) 724-3270, (809) 724-3103

North Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State Single Point of Contact, Office of Management and Budget, Office of the Governor, Saipan, MP, Telephone: (670) 664-2256, FAX: (670) 664-2272, Contact Person: Ms. Jacoba T. Seman, Federal Programs Coordinator, Telephone: (670) 644-2289, FAX: (670) 644-2272

Virgin Islands

Nelson Bowry, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802

Please direct all questions and correspondence about intergovernmental review to: Linda Clarke, Telephone: (809) 774-0750, FAX: (809) 776-0069.

OMB State Single Point of Contact Listing:

Arizona

Joni Saad, Arizona State Clearinghouse, 3800 N. Central Avenue, Fourteenth Floor, Phoenix, Arizona 85012, Telephone: (602) 280-1315, FAX: (602) 280-8144

Arkansas

Mr. Tracy L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, 1515 W. 7th St., Room

412, Little Rock, Arkansas 72203, Telephone: (501) 682-1074, FAX: (501) 682-5206

California

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

Delaware

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

District of Columbia

Charles Nichols, State Single Point of Contact, Office of Grants Mgmt. & Dev., 717 14th Street, NW—Suite 500, Washington, DC 20005, Telephone: (202) 727-6554, FAX: (202) 727-1617

Florida

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

Georgia

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

Illinois

Virginia Bova, State Single Point of Contact, Department of Commerce and Community Affairs, James R. Thompson Center, 100 West Randolph, Suite 3-400, Chicago, Illinois 60601, Telephone: (312) 814-6028, FAX: (312) 814-1800

Indiana

Frances Williams, State Budget Agency, 212 State House, Indianapolis, Indiana 46204-2796, Telephone: (317) 232-5619, FAX: (317) 233-3323

Iowa

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

Kentucky

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

Maine

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

Maryland

William G. Carroll, Manager, State Clearinghouse for Intergovernmental Assistance, Maryland Office of Planning, 301 W. Preston Street—Room 1104,

Baltimore, Maryland 21201-2365, Staff Contact: Linda Janey, Telephone: (410) 225-4490, FAX: (410) 225-4480

Michigan

Richard Pfaff, Southeast Michigan Council of Governments, 1900 Edison Plaza, 660 Plaza Drive, Detroit, Michigan 48226, Telephone: (313) 961-4266, FAX: (313) 961-4869

Mississippi

Cathy Malette, Clearinghouse Officer, Department of Finance and Administration, 455 North Lamar Street, Jackson, Mississippi 39202-3087, Telephone: (601) 359-6762, FAX: (601) 359-6794

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Planning, One Capitol Hill, 4th Floor,
Providence, Rhode Island 02908-5870,
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277-2083

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Planning.

South Carolina

Rodney Grizzle, State Single Point of Contact,
Grant Services, Office of the Governor,
1205 Pendleton Street—Room 331,
Columbia, South Carolina 29201,
Telephone: (803) 734-0494, FAX: (803)
734-0356

Texas

Tom Adams, Governors Office, Director,
Intergovernmental Coordination, P.O. Box
12428, Austin, Texas 78711, Telephone:
(512) 463-1771, FAX: (512) 463-1888

Utah

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

West Virginia

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

Wisconsin

Jeff Smith, Section Chief, State/Federal
Relations, Wisconsin Department of
Administration, 101 East Wilson Street—
6th Floor, P.O. Box 7868, Madison,
Wisconsin 53707, Telephone: (608) 266-
0267, FAX: (608) 267-6931

Wyoming

Matthew Jones, State Single Point of Contact,
Office of the Governor, 200 West 24th
Street, State Capital, Room 124, Cheyenne,
Wyoming 82002, Telephone: (307) 777-
7446, FAX: (307) 632-3909

Territories

Guam

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

Puerto Rico

Norma Burgos/Jose E. Caro, Chairwoman/
Director, Puerto Rico Planning Board,
Federal Proposals Review Office, Minillas
Government Center, P.O. Box 41119, San
Juan, Puerto Rico 00940-1119, Telephone:
(809) 727-4444, (809) 723-6180, FAX:
(809) 724-3270, (809) 724-3103

North Mariana Islands

Mr. Alvaro A. Santos, Executive Officer, State
Single Point of Contact, Office of
Management and Budget, Office of the
Governor, Saipan, MP, Telephone: (670)
664-2256, FAX: (670) 664-2272, Contact

Person: Ms. Jacoba T. Seman, Federal
Programs Coordinator, Telephone: (670)
644-2289, FAX: (670) 644-2272

Virgin Islands

Nelson Bowry, Director, Office of
Management and Budget, #41 Norregade
Emancipation Garden Station, Second
Floor, Saint Thomas, Virgin Islands 00802

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correspondence about intergovernmental
review to: Linda Clarke, Telephone: (809)
774-0750, FAX: (809) 776-0069.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Health Care Financing Administration

[HCFA-382]

Agency Information Collection Activities: Proposed Collection; Comment Request

In compliance with the requirement
of section 3506(c)(2)(A) of the
Paperwork Reduction Act of 1995, the
Health Care Financing Administration
(HCFA), Department of Health and
Human Services, is publishing the
following summary of proposed
collections for public comment.
Interested persons are invited to send
comments regarding the burden
estimate or any other aspect of this
collection of information, including any
of the following subjects: (1) The
necessity and utility of the proposed
information collection for the proper
performance of the agency's functions;
(2) the accuracy of the estimated
burden; (3) ways to enhance the quality,
utility, and clarity of the information to
be collected; and (4) the use of
automated collection techniques or
other forms of information technology to
minimize the information collection
burden.

Type of Information Collection
Request: Extension of a currently
approved collection; *Title of*
Information Collection: ESRD
Beneficiary Selection; *Form No.:* HCFA-
382; *Use:* ESRD facilities have each new
home dialysis patient select one of two
methods to handle Medicare
reimbursement. The intermediaries pay
for the beneficiaries selecting Method I
and the carriers pay for the beneficiaries
selecting Method II. This system was
developed to avoid duplicate billing by
both intermediaries and carriers.
Frequency: Other-one time only;
Affected Public: Individuals or
Households, Business or other for-profit,
and Not-for-profit institutions; *Number*

of Respondents: 3,100; *Total Annual*
Hours: 259.

To obtain copies of the supporting
statement for the proposed paperwork
collections referenced above, access
HCFA's WEB SITE ADDRESS at <http://www.hcfa.gov/regis/prdact95.htm>, or to
obtain the supporting statement and any
related forms, E-mail your request,
including your address and phone
number, to Paperwork@hcfa.gov, or call
the Reports Clearance Office on (410)
786-1326. Written comments and
recommendations for the proposed
information collections must be mailed
within 60 days of this notice directly to
the HCFA Paperwork Clearance Officer
designated at the following address:
HCFA, Office of Financial and Human
Resources, Management Analysis and
Planning Staff, Attention: Louis Blank,
Room C2-26-17, 7500 Security
Boulevard, Baltimore, Maryland 21244-
1850.

Date: May 19, 1997.

Edwin J. Glatzel,

Director, Management Analysis and Planning
Staff, Office of Financial and Human
Resources.

[FR Doc. 97-13916 Filed 5-27-97; 8:45 am]

BILLING CODE 4120-03-P

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Health Care Financing Administration

[HCFA-R-184]

Agency Information Collection Activities: Proposed Collection; Comment Request

In compliance with the requirement
of section 3506(c)(2)(A) of the
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(HCFA), Department of Health and
Human Services, is publishing the
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collection of information, including any
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information collection for the proper
performance of the agency's functions;
(2) the accuracy of the estimated
burden; (3) ways to enhance the quality,
utility, and clarity of the information to
be collected; and (4) the use of
automated collection techniques or
other forms of information technology to
minimize the information collection
burden.

Type of Information Collection
Request: Extension of currently