

Federal Communications Commission.
Robert H. McNamara,
Acting Chief, Private Wireless Division.
[FR Doc. 95-9094 Filed 4-12-95; 8:45 am]
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FEDERAL RESERVE SYSTEM

Signet Banking Corporation, et al.; Acquisitions of Companies Engaged in Permissible Nonbanking Activities

The organizations listed in this notice have applied under § 225.23(a)(2) or (f) of the Board's Regulation Y (12 CFR 225.23(a)(2) or (f)) for the Board's approval under section 4(c)(8) of the Bank Holding Company Act (12 U.S.C. 1843(c)(8)) and § 225.21(a) of Regulation Y (12 CFR 225.21(a)) to acquire or control voting securities or assets of a company engaged in a nonbanking activity that is listed in § 225.25 of Regulation Y as closely related to banking and permissible for bank holding companies. Unless otherwise noted, such activities will be conducted throughout the United States.

Each application is available for immediate inspection at the Federal Reserve Bank indicated. Once the application has been accepted for processing, it will also be available for inspection at the offices of the Board of Governors. Interested persons may express their views in writing on the question whether consummation of the proposal can "reasonably be expected to produce benefits to the public, such as greater convenience, increased competition, or gains in efficiency, that outweigh possible adverse effects, such as undue concentration of resources, decreased or unfair competition, conflicts of interests, or unsound banking practices." Any request for a hearing on this question must be accompanied by a statement of the reasons a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute, summarizing the evidence that would be presented at a hearing, and indicating how the party commenting would be aggrieved by approval of the proposal.

Unless otherwise noted, comments regarding each of these applications must be received at the Reserve Bank indicated for the application or the offices of the Board of Governors not later than April 27, 1995.

A. Federal Reserve Bank of Richmond (Lloyd W. Bostian, Jr., Senior Vice President) 701 East Byrd Street, Richmond, Virginia 23261:

1. *Signet Banking Corporation*, Richmond, Virginia to acquire through

its subsidiaries, Virtus Capital Management, Inc., and Signet Financial Services, Inc., both of Richmond, Virginia, Sheffield Management Company, New York, New York, and thereby indirectly acquire Sheffield Investments, Inc., New York, New York, and thereby engage in acting as investment advisor to the Blanchard Group of Funds, pursuant to § 225.25(b)(4) of the Board's Regulation Y, and providing brokerage, marketing, and related services to the Blanchard Group of Funds, pursuant to § 225.25(b)(15) of the Board's Regulation Y, but will not serve as distributor for the Blanchard Group of Funds or any other mutual fund.

B. Federal Reserve Bank of Minneapolis (James M. Lyon, Vice President) 250 Marquette Avenue, Minneapolis, Minnesota 55480:

1. *Ramsey Financial Corporation*, Devils Lake, North Dakota; to acquire through its subsidiary, the Rugby, Cavalier, and Bottineau branches of Heritage Federal Savings Bank, fsb, Cando, North Dakota, First Bank, fsb, Fargo, North Dakota, and thereby engage in operating a savings association, pursuant to § 225.25(b)(9) of the Board's Regulation Y.

Board of Governors of the Federal Reserve System, April 7, 1995.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 95-9091 Filed 4-12-95; 8:45 am]

BILLING CODE 6210-01-F

Anita Bancorporation, Inc., et al.; Formations of; Acquisitions by; and Mergers of Bank Holding Companies

The companies listed in this notice have applied for the Board's approval under section 3 of the Bank Holding Company Act (12 U.S.C. 1842) and § 225.14 of the Board's Regulation Y (12 CFR 225.14) to become a bank holding company or to acquire a bank or bank holding company. The factors that are considered in acting on the applications are set forth in section 3(c) of the Act (12 U.S.C. 1842(c)).

Each application is available for immediate inspection at the Federal Reserve Bank indicated. Once the application has been accepted for processing, it will also be available for inspection at the offices of the Board of Governors. Interested persons may express their views in writing to the Reserve Bank or to the offices of the Board of Governors. Any comment on an application that requests a hearing must include a statement of why a written presentation would not suffice in lieu of a hearing, identifying

specifically any questions of fact that are in dispute and summarizing the evidence that would be presented at a hearing.

Unless otherwise noted, comments regarding each of these applications must be received not later than May 8, 1995.

A. Federal Reserve Bank of Chicago (James A. Bluemle, Vice President) 230 South LaSalle Street, Chicago, Illinois 60690:

1. *Anita Bancorporation, Inc.*, Newton, Iowa; to acquire 100 percent of the voting shares of Griswold Bancshares, Inc., Griswold, Iowa, and thereby indirectly acquire Griswold State Bancshares, Inc., Griswold, Iowa, and Griswold State Bank, Griswold, Iowa.

B. Federal Reserve Bank of Dallas (Genie D. Short, Vice President) 2200 North Pearl Street, Dallas, Texas 75201-2272:

1. *Metrocorp, Inc.*, Houston, Texas; to become a bank holding company by acquiring 100 percent of the voting shares of Metrocorp of Delaware, Inc., Wilmington, Texas, and thereby indirectly acquire MetroBank, N.A., Houston, Texas.

In connection with this application, Metrocorp of Delaware, Inc., Wilmington, Delaware, also has applied to become a bank holding company by acquiring 100 percent of MetroBank, N.A., Houston, Texas.

C. Federal Reserve Bank of San Francisco (Kenneth R. Binning, Director, Bank Holding Company) 101 Market Street, San Francisco, California 94105:

1. *Northeast Portland Community Development Trust and Albina Community Bancorp*, both of Portland, Oregon; to become bank holding companies by acquiring 100 percent of the voting shares of Albina Community Bank, Portland, Oregon (in organization).

2. *Cache Valley Banking Company*, Logan, Utah; to become a bank holding company by acquiring 92.66 percent of the voting shares of Cache Valley Bank, Logan, Utah.

Board of Governors of the Federal Reserve System, April 7, 1995.

Jennifer J. Johnson,

Deputy Secretary of the Board.

[FR Doc. 95-9090 Filed 4-12-95; 8:45 am]

BILLING CODE 6210-01-F

DEPARTMENT OF HEALTH AND HUMAN SERVICES**Administration on Aging**

[Program Announcement No. AOA-95-1]

Fiscal Year 1995 Program Announcement; Availability of Funds and Request for Applications

AGENCY: Administration on Aging, HHS.
ACTION: Announcement of availability of funds and request for applications under the Administration on Aging's Discretionary Funds Program for research, demonstration, training, development, and related capacity-building activities.

SUMMARY: The Administration on Aging (AoA) announces its Fiscal Year (FY) 1995 Discretionary Funds Program (DFP) of knowledge building, program innovation and development, information dissemination, training, technical assistance, and related capacity-building efforts. The FY 1995 DFP is responsive to the major strategic initiatives of the Assistant Secretary for Aging and to specific mandates of the Older Americans Act. Funding for AoA discretionary grants is authorized by Title IV of the Older Americans Act, Public Law 89-73, as amended.

This program announcement consists of three parts. Part I provides background information, discusses the purpose of the AoA Discretionary Funds Program, and documents its statutory funding authority. Part II describes the programmatic priorities under which AoA is inviting applications to be considered for funding. Part III describes, in detail, the application process and provides guidance on how to prepare and submit an application.

All of the forms necessary to submit an application are published as part of this announcement following Part III. No separate application kit is necessary for submitting an application. If you have a copy of this entire announcement, you have all the information and forms required to prepare and submit an application.

Grants will be made under this announcement subject to the availability of funds for the support of the priority area project activities described herein.

DATES: The deadline date for the submission of applications under this announcement is June 12, 1995.

FOR FURTHER INFORMATION CONTACT: Department of Health and Human Services, Administration on Aging, Office of Program Development and Elder Rights, 330 Independence Avenue, S.W., Room 4278, Washington, DC 20201, telephone (202) 619-0441.

SUPPLEMENTARY INFORMATION:

Part I Background

A. The Challenges of an Aging Society

According to the National Center for Health Statistics, life expectancy at birth for Americans in 1991 rose to a record 75.5 years. The Census Bureau predicts that by the year 2020 the average life expectancy will be 82 years for women and 74.2 years for men. At the turn of the century, only 4 percent of the American population was 65 and over. By 1990, it was 12 percent. Beginning in approximately 2010, the percentage is projected to increase rapidly to 20 percent by 2030 and then to increase slowly to about 21% by 2050 and 22% by 2060. By the year 2030, there will be more people age 65 and older than young people under age 15 in the population.

The baby boom generation, which will begin to reach retirement age in little more than a decade, now represents the largest age segment of the U.S. population, numbering approximately 75 million. The current older population, already noted for its heterogeneity, will be significantly more diverse with the aging of the baby boomers in the early decades of the 21st century. Minority populations are projected to represent 25% of the elderly in 2030, up from 13% in 1990. The great increase in the numbers and the diversity of the elderly, combined with dramatic changes in lifestyle (such as four-generation households and more women serving in both caregiving roles and the work force) are important factors to consider in planning for an aging society.

If the Nation is to be well prepared for, rather than daunted by, the burgeoning numbers of older persons in the 21st century, and to be equally well equipped to take advantage of the opportunities arising from concomitant social and economic changes, then today we must grasp the basic implications of an aging society, and act on the basis of those realizations. Our Nation has many different policies and agencies that impact on what people may or may not do when they retire. Although the Department of Health and Human Services and the Social Security Administration provide the bulk of public financing for programs and benefits that directly or indirectly affect older persons, almost every Federal agency is involved in providing services to older persons including the Departments of Housing and Urban Development, Transportation, Justice, Agriculture, Labor, Defense, Energy, and Treasury. By creating the position of

Assistant Secretary for Aging, the President and the Secretary of Health and Human Services have provided a focal point for aging policy, whereby the disparate program responsibilities of Federal government agencies can be linked into a more coherent vision of what is needed for an aging society.

B. Older Americans Act Responsibilities of the Assistant Secretary for Aging and the Administration on Aging

The Older Americans Act of 1965, as amended, is designed to provide assistance in the development of new or improved programs to help older persons, through grants to the States and tribal organizations for community planning and services and for research, demonstration and training projects. Through the Act, the Congress has declared that it is the responsibility of the Federal government, the States, and Native American tribal organizations to assist older people as they endeavor to secure an adequate retirement income, the best possible physical or mental health services, suitable housing, long term care services, employment opportunities, and participation in a wide range of civic, cultural, educational and recreational activities.

Title II of the Act declares, further, that it is the responsibility of the Assistant Secretary for Aging to serve as the effective and visible advocate for older individuals within the Department of Health and Human Services and with other departments, agencies, and instrumentalities of the Federal Government. Under Title II, the Assistant Secretary is charged with directly assisting the Secretary of Health and Human Services in all matters pertaining to problems of the aged and aging and with the responsibility to administer the formula and discretionary grant programs authorized by Congress under Titles III, IV, VI and VII of the Act.

1. The AoA Discretionary Funds Program

The Discretionary Funds Program authorized by Title IV of the Older Americans Act constitutes the major research, demonstration, training, and development effort of the Administration on Aging. The Title IV mandate is aimed, generally, at building knowledge, developing innovative model programs, and training personnel for service in the field of aging, and matching these resources to the changing needs of older persons and their families in the coming decades. AoA's research, demonstrations, training and other discretionary projects are focused on:

- Advancing our knowledge and understanding of current program and policy issues, such as community and in-home long term care service systems and programs, significant to the well-being of the older population;
- Improving the effectiveness of Older Americans Act programs by testing new models, systems, and approaches for better providing and delivering services to older persons; and
- Providing training, technical assistance, and information that will increase our ability to serve older Americans with skill, care, and compassion.

2. Coordination With Other Federal Agencies

In accordance with Title II of the Older Americans Act, the Assistant Secretary for Aging and the Administration on Aging (AoA) function as focal points within the Federal government for aging-related concerns. In that capacity, the Assistant Secretary advises the Secretary of Health and Human Services on matters affecting older Americans and provides consultation and information to units across the Federal government on the characteristics, circumstances, and needs of older persons. AoA has a strong commitment to working with other Federal agencies on policy and program development in issue areas of importance to older Americans. To carry out its national level program and advocacy responsibilities, AoA places major emphasis on developing collaborative relationships with other Federal agencies aimed at coordinating diverse and wide-ranging Federal program resources and linking those resources to the similarly diverse needs of older persons.

Dating back two decades, AoA has worked hard to develop and implement a network of Federal Interagency Agreements to better serve older Americans, combining our resources with those of the Departments of Housing and Urban Development, Labor, and Education, the Farmers Home Administration, the Social Security Administration, and the Corporation for National and Community Service (formerly ACTION), as well as with other agencies within the Department of Health and Human Services, such as the Health Care Financing Administration, the Administration for Children and Families, and the Public Health Service, including the National Institute on Aging.

Federal Interagency Agreements cover a spectrum of program efforts—in housing, long term care, elder abuse,

etc. They represent a strategic coupling of AoA's resources to serve the nation's elderly, especially those at risk of losing their independence.

3. Dissemination of Title IV Project Results and Products

In keeping with the provisions of the Older Americans Act, all projects funded under Title IV are required to undertake vigorous steps to disseminate the results and products of their projects to appropriate audiences involved in promoting the well-being of older persons. This should include energetic marketing of products and results. Projects are strongly encouraged to utilize appropriate promotional media campaigns and other dissemination strategies in order to ensure that their outcomes receive the widest possible attention. Such campaigns should seek to educate consumers, providers (including the Aging Network), the private sector, and policy sector about their results and to promote use of their products.

As described below in Part III, Section I.2, the most effective dissemination begins at the moment a project is conceptualized and includes the involvement of potential user audiences throughout the project, particularly in the design of products. As part of their dissemination plan, applicants are also encouraged to consider the development, as appropriate, of brief products suitable for widespread dissemination to older persons, their families and other caregivers, and practitioners who serve older persons. Advice on ways to maximize the utilization of a proposed project may be obtained by contacting Saadia Greenberg at the AoA Office of Dissemination and Utilization at (202) 619-0441. Applicants may also be interested in obtaining a publication entitled, *Dissemination by Design*, which may be requested by calling the above number.

C. Focus of the FY 1995 Discretionary Funds Program Announcement

Through this Title IV Program Announcement, the Assistant Secretary for Aging intends to focus Title IV Discretionary Funds support on AoA's strategic initiatives for (1) building and strengthening systems of home and community based long term care and (2) better understanding of minority aging issues as well as the challenges of a much more diverse aging society in the 21st century. The second major area of emphasis in this Title IV Discretionary Funds Program Announcement derives from several congressional mandates keyed to provisions of the Older

Americans Act. These mandates concentrate discretionary funding resources on making a number of aging programs more effective, specifically a national legal assistance support system and legal hotlines to serve older Americans, pension rights information and counseling, and the utilization of older volunteers in multigenerational family program settings.

D. Technical Assistance for Prospective Applicants

Either the central or the regional offices of the Administration on Aging are available to provide guidance and technical assistance to prospective applicants and to respond to questions of a general nature. Questions regarding the programmatic or technical aspects of any of the several priority areas should be directed to the central office in Washington, D.C. The persons to contact are listed below:

City	AoA Contact Person(s)
Washington, D.C.	Alfred Duncker/Saadia Greenberg, Albert Byrd, (202) 619-0441.
Boston, Massachusetts.	Thomas Hooker, (617) 565-1158.
New York, New York.	Judith Rackmill, (212) 264-2976.
Philadelphia, Pennsylvania.	Paul E. Ertel, Jr., (215) 596-6891.
Atlanta, Georgia	Franklin Nicholson, (404) 331-5900.
Chicago, Illinois	Marion Mengert, (312) 353-3141.
Dallas, Texas	John Diaz, (214) 767-2971.
Kansas City, Missouri.	Larry Brewster, (816) 374-6015.
Denver, Colorado ...	Percy Devine, (303) 844-2951.
San Francisco, California.	Frank Cardenas, (415) 556-6003.
Seattle, Washington	Chisato Kawabori, (206) 615-2298.

E. Statutory Authority

The statutory authority for awards made under the AoA Discretionary Funds Program is contained in Title II and Title IV of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older American Act Amendments of 1992, Public Law 102-375, September 30, 1992.

F. Public Comments on this Announcement

AoA invites comments on this Discretionary Funds Program Announcement. In addition, because the field of aging is characterized by rapidly unfolding events, new data, findings and interpretations, and a broad range of issues important to older people, the

Administration on Aging is considering the publication of a FY 1996 Discretionary Funds Program (DFP) Announcement as early as October, 1995. Among the general areas under consideration for support in the FY 1996 DFP, Title IV funding levels permitting, are: (1) *Gerontological education and training*; (2) *prevention of crime and violence against the elderly*; (3) *home and community based long term care*; (4) *the national and international aspects of contemporary and future minority aging issues in an increasingly aging society*, and; (5) *follow-up to the salient issues raised by the 1995 White House Conference on Aging*. We invite comments on the content and timing of the FY 1996 DFP. Please direct your comments to: Administration on Aging, Office of Program Development and Elder Rights, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Part II—Priority Areas

Part II of the Discretionary Funds Program (DFP) Announcement sets forth the priority areas under which applications will be considered for funding by the Administration on Aging. Part II also provides general guidelines concerning eligible applicants as well as project costs and duration. More specific instructions regarding eligibility, the Federal share of project costs, project duration, and deadline dates for the submission of applications may be found under the individual priority areas.

Applications must be directly and explicitly responsive to the expressed concerns of the particular priority area under which they are submitted. AoA reserves the option of screening out and returning any application which manifestly bears no relation to the priority area under which it has been submitted.

A. Eligible Applicants

As a general rule, any public or nonprofit agency, organization, or institution is eligible to apply under this Discretionary Funds Program Announcement. Where there are exceptions to this rule, they are specified in the appropriate priority area description. The Administration on Aging will not consider grant applications from individuals because they are ineligible to receive a grant award under the provisions of Title IV of the Older Americans Act. For-profit organizations are not eligible applicants, but may participate as subgrantees or subcontractors to eligible public or nonprofit agencies.

Any nonprofit organization applying under this program announcement that is not now a DHHS grantee should include, with its application, Internal Revenue Service or other legally recognized documentation of its nonprofit status. A nonprofit applicant cannot be funded without proof of its status.

B. Project Costs and Duration

Under each priority area, AoA has estimated the number of projects to be funded and offered guidelines regarding both the duration of those projects and the anticipated Federal share of project costs. Because applications are reviewed on a competitive basis within priority areas, they are expected to be comparable in terms of cost and duration. Therefore, applicants are strongly urged to adhere to those guidelines.

C. List of Priority Areas

- (1) Neighborhood Senior Care Program
- (2) Enhanced Capacity and Management of Home and Community Based Long Term Care Service Systems
- (3) Research on Minority Elders in a Diverse Aging Society
- (4) National Legal Assistance and Elder Rights Projects
- (5) Statewide Legal Hotlines for Older Americans
- (6) Pension Information and Counseling Program
- (7) National Volunteer Senior Aides/ Family Friends Projects

(1) Neighborhood Senior Care Program

Pursuant to Section 429B of the Older American Act, this priority area is designed to solicit proposals that demonstrate innovative neighborhood senior care programs which encourage professionals to provide volunteer services to local residents who are older individuals and who might otherwise have to be admitted to nursing homes and hospitals.

The Neighborhood Senior Care Program is intended to foster professionally oriented, neighborhood-based volunteer programs for the vulnerable elderly by organizing and providing health, social, and similar services in coordination with other community agencies and organizations. Volunteer services may include peer counseling, chore services, assistance with mail and taxes, transportation, socialization, and health and social services. Health and social services may include skilled nursing care, personal care, social work services, homemaker services, health and nutrition education, health screening, home health aide services, and specialized therapies.

Applicants shall:

(A) Describe the activities for which assistance is sought and the methodology for carrying out activities;

(B) Describe the neighborhood in which services are to be provided and a plan for integrating services within the neighborhood;

(C) Provide assurances that nurses, social workers, community volunteers providing volunteer services, and an outreach coordinator involved with the project, live in the neighborhood. If this is not possible, the applicant shall state the reasons such assurances cannot be provided and assure that the nurses, social workers, community volunteers and outreach coordinator who are not neighborhood residents will be assigned repeatedly to the neighborhood;

(D) Provide for a neighborhood advisory board, at least two thirds of which shall be made up of residents from the community to be served;

(E) Describe how the proposal will be implemented in cooperation with appropriate local service providers, community programs for the elderly, and Area and State Agencies on Aging.

(F) Describe how the program will become self sustaining by the end of the Federal funding period.

(G) Provide for an evaluation of the activities and outcomes of the proposed program.

Applicants are encouraged to consider including in their budget a technical assistance component, as needed, whereby they would be provided state-of-the-art information on how to best implement an effective and innovative neighborhood program, and on how to sustain the program after Federal funding is completed.

The Neighborhood Senior Care Program was modeled in part on the Living at Home/Block Nurse Program. Information about the program is available by contacting the Living at Home/Block Nurse Program, Ivy League Place—Suite 322, 475 Cleveland Avenue North, St. Paul, MN 55104–5101 (612–649–0315).

Preference in awarding funds will be given to applicants who are experienced in operating community programs and meeting the independent living needs of older individuals and who propose new model programs or innovative improvements in existing models. Applicants are advised that they are competing under a national demonstration program authorized by Title IV of the Older American Act. Therefore, applications will be screened by AoA to assure that they are not local service projects, but rather are responsive to issues of national significance, such as the ability of the

elderly to remain independent in their own homes and communities, and will result in findings, reports, and products with national implications such as the effective use of neighborhood resources to promote the independence of older persons.

AoA intends to make approximately 10-13 awards with a Federal share of approximately \$100,000-\$120,000 for a 17 month project period.

(2) Enhanced Capacity and Management of Home and Community Based Long Term Care Service Systems

Under this priority area, AoA intends to award, through a Cooperative Agreement, one project grant for the purpose of providing expert technical assistance and training to all States aimed at strengthening the capacity of State and Area Agencies on Aging in managing and improving their home and community based long term care service systems. Although the proposed project has general applicability to the critical leadership role of the Aging Network in fostering the growth of home and community based long term care, it is especially timely now in light of the enhanced leadership role of AoA in promoting home and community-based services, and other major legislative changes which may impact on the program and fiscal underpinnings of State long-term care programs.

The Administration is seeking additional Title IV program resources to promote home and community-based services which would be directed toward meeting the major strategic initiative of the Assistant Secretary for Aging aimed at assisting all States and their communities in developing better home and community-based long term care service systems for older persons and persons with disabilities. The focus is on long-term care because it is a critical issue facing the nation. The focus is on home and community-based long term care services because they are, for the overwhelming majority of older and disabled persons and their families, the much more preferred alternative to institutional care. The focus is on States and their communities because they have been, are now, and will be the testing and proving ground in this nation for building an efficient and cost-effective infrastructure of home and community based services that responds to the long term care needs of their citizens.

The proposed Title IV increase is a modest but very much needed down payment toward building our country's future system of home and community-based care. The States are now in varying stages of developing home and

community-based long term care service systems. The technical assistance, consultation, and training project to be funded under this priority area is intended to provide to the States and their communities the requisite program information, knowledge base, consultation, staff training guides, and other program resources to capitalize on the core funding provided by Title IV and to demonstrate to critical audiences of policy makers and taxpayers alike that home and community-based care is a compelling alternative to institutional care.

The manner in which funds are provided to States and the way in which programs are operated is being debated. There are divergent viewpoints about the appropriate federal and state role in funding long-term care services. Based on which of these approaches is implemented, States and local aging entities will need assistance in modifying their systems of care to ensure that they remain responsive to individual consumers and are run in an efficient, effective and accountable manner. Based on the approach, decisions will need to be made about consolidation of delivery vehicles in light of different consumer preferences or on how to reach consensus on performance outcomes with federal, state and local representatives having different agendas.

Because of the rapidly changing environment, it is critical that a mechanism be developed for communication among the States, peer consultation, technical assistance, training, and joint ventures for planning and systems design.

The successful applicant under this priority area will be responsible for providing technical assistance and consultation to all States that encompasses key components of the management of effective home and community based long term care service systems. The applicant must demonstrate the ability to respond rapidly to the specific needs of States, and must be mobile and versatile enough to address the diversity of issues facing States in the enhancement of their home and community-based service delivery systems. In this regard, the applicant should serve as an institute without walls, responding wherever assistance is needed.

The applicant must be able to:

- (1) Provide opportunities for communication between States, consultation among States, and consultation with experts, training and technical assistance;
- (2) Address critical issues identified by States;

- (3) Facilitate joint ventures between States in planning and systems design; and
- (4) Develop a report on issues identified by States and mechanisms and solutions developed by the States.

The key components of managing an effective systems which the applicant must be capable of addressing include:

- Developing, designing, implementing or enhancing data collection, analysis and reporting systems for programs to provide reliable information about the services delivered and the people served. Technical assistance and training will be aimed at enhancing State capacity to target and track the services provided and to report on program performance and effectiveness, proving that home and community based care is a cost-effective means of serving those at risk of being institutionalized.

- Providing training and consultation programs that draw upon our already extensive base of experience and knowledge in building home and community based long term care systems, such training and consultation programs to use proven best practices and models, well tested guides and manuals, as well as other useful products, for the education and training of State staff, local staff and providers.

- Ensuring better coordination of programs and agencies within their States and communities through interagency agreements, task forces, policy councils and work groups, with an emphasis on leveraging and managing other funds (Social Services Block Grant, Medicaid, and State General Revenue) which address the home and community based long-term care needs of older people and disabled individuals of all ages.

AoA anticipates that the Federal share of project costs for this technical assistance project will be approximately \$250,000 per year for a project period of up to three years.

(3) Research on Minority Elders in a Diverse Aging Society

Although research to date has made very important contributions to bettering the lives of older Americans, too little attention has been paid to some key subgroups among the older population. Research on racial and ethnic minorities especially has been in short supply. Without solid research that advances our understanding of minority elders, we are missing that essential knowledge base from which to mount policy and program efforts that are both well informed and well designed to make fundamental changes, not the least of which is to empower

minority elders to help themselves. Particularly needed are studies applicable to the economic, social, and health status of minority elders, research that examines and analyzes their impact on, and role in, the increasingly diverse aging society of the 21st century.

Among the applied and policy research topics encompassed by this priority area are the following:

- *In the context of the future aging of the baby boom generation*, we need: (1) To develop accurate forecasts of the changing size and composition of racial and ethnic minority populations and (2) to better understand and respond to the impact of growing proportions of racial and ethnic minorities among this diverse aging cohort.

- *In the context of immigration and aging*: (1) What are the effects of the new wave of immigration and of current immigration policy on an aging society? (2) What are the demographic, economic, health, and related implications of the recent surge in the number of older immigrants (aged 50 and over) which is expected to continue into the next century? and (3) What opportunities and challenges are presented by this infusion of greater diversity into the aging society of the 21st century?

- *In the context of family caregiving and support among minority older population groups*, we need to better understand the factors that sustain and strengthen the family's role as a support network within and across generations, the changing patterns of family support within and across generations, and the consequences these changes have for the long term care of older family members. Among the questions to be studied are: (1) What will be the effects of the independent life styles of current and future generations on traditional norms of obligation and duty to older family members? (2) What models of long term care services are appropriate for minority older persons when the family can no longer manage the care at home? and (3) How can aging services programs win greater acceptability in minority communities as a suitable complement or, when necessary, alternative to family caregiving?

- *In the context of international transfer of knowledge*, we will be able to better serve racial and ethnic minority elders if we have a better understanding of their cultures of origin. Among the questions to be studied: (1) What are the cultural norms, attitudes, and practices identified with aging, particularly in those countries with special relevance to the U.S., such as Central and South America and the

Pacific Rim countries? (2) How do the social, economic, and health statuses of the elderly in these other nations influence aging policies, programs, and services? With what implications for the development of a blueprint for responding to the challenges of an aging society in the U.S.? and (3) More specifically, in what areas can we best apply a fuller understanding of the social services, programs, delivery systems and innovations in other countries that would be beneficial to U.S. programs serving racial and ethnic minority elderly? Crosscultural comparative studies examining issues related to the elderly both in the country of origin and in the U.S. are among the acceptable approaches to the questions raised above. Federal funds may be used for international travel.

Applications for funding under this priority area may be either general in scope or focus on individual racial and ethnic groups, including African Americans, Hispanics, Native Americans, and Asian Americans and Pacific Islanders. AoA intends to make approximately 6-8 awards with a Federal share of approximately \$100,000 per year for a project period of up to two years.

(4) National Legal Assistance and Elder Rights Projects

The Administration on Aging (AoA) expects to make discretionary project awards aimed at continued support of a national system of legal assistance support activities to State and Area Agencies on Aging which will assist them in developing an elder rights system and providing, developing and supporting legal assistance for older people. In the 1992 amendments to the Older Americans Act, legal assistance was made an integral part of the new Title VII, Vulnerable Elder Rights Protection program. Therefore, AoA is expanding the role of the national system to encompass elder rights systems development.

AoA now funds national resource centers to develop knowledge and apply research findings, provide training and technical assistance, disseminate information, and conduct related activities in support of the *Long-Term Care Ombudsman and Elder Abuse Prevention (Chapters 2 and 3 of Title VII)*. Therefore, these two programs are outside the focus of this priority area.

Awards under this priority area are made under the authority of Title IV, Section 424 of the Older Americans Act and are aimed at building and strengthening the national system of legal assistance in support of the vulnerable elder rights protection

program activities of State and Area Agencies on Aging. Proposed projects should have two principal objectives. *First*, enhance the leadership capacity of State and Area Agencies on Aging in accomplishing the mandate of Title VII through such efforts as:

- Assisting in the development of a State-wide elder rights advocacy system, involving a range of agencies involved in elder rights activities;

- Assisting in the development of a responsive State-wide systems of legal assistance, including support for AAA supported legal assistance projects;

- Assisting Area Agencies on Aging in integrating legal assistance programs for older people into existing community based service delivery systems;

- Assisting State Agencies on Aging to develop methods to ensure that legal counsel is available to all Long-Term Care Ombudsmen.

Second, improve the quality and accessibility of the legal assistance provided to older people through such efforts as:

- Providing training to State and Area Agencies on Aging, legal assistance providers, elder rights advocates, and other staff providing assistance to older people;

- Providing training to staff responsible for benefits, insurance, and pension counselling to vulnerable older people; and

- Providing substantive assistance, including case consultation and advice on systems development and implementation, to those agencies and staff that provide legal assistance to older people.

Title IV, Section 424 of the Older Americans Act specifies four component activities of a national legal assistance support system. Each activity is a valuable resource in developing systems of legal assistance for older people, and in improving the quality and accessibility of such services, as part of the overall system of services for older people. AoA expects that the projects funded under this priority area will encompass at least these four components:

(1) *Case consultations*. Appropriate case consultation will be made available to those legal assistance programs funded under Title III of the Older Americans Act. Building on the results of case consultations, grantees should provide such follow-up activities as: Documenting the resolution of those cases and issues which have precedent-setting implications; and making that documentation and analysis available to providers of legal assistance to older

people and State Agencies on Aging nationwide;

(2) *Training.* AoA expects the applicant to propose a strategy for meeting the training and technical assistance needs of legal assistance providers, benefits counselors, elder rights advocates, and other appropriate persons, as identified by State Agencies on Aging. That strategy should describe the training and technical assistance to be provided; the intended target audience; the materials and curricula which will be utilized and made available to State agencies for the replication of such training; and any follow-up activities to assist those who have been trained;

(3) *Provision of substantive legal advice and assistance.* AoA expects the applicant to provide substantive information in areas where legal assistance can assist older people to maintain their independence. The applicant should analyze the substantive issue area, explain its importance to older people, and identify a suitable reporting format (policy paper, newsletter, etc.) and dissemination plan. The substantive areas could include, but are not limited to, such important areas as: income; health care; long-term care; nutrition; housing; utilities; protective services; abuse and neglect; guardianship; age discrimination; pension and health benefits; insurance; consumer protection; surrogate decisionmaking; public benefits; and dispute resolution.

(4) *Assistance in the design, implementation, and administration of legal assistance delivery and elder rights advocacy systems to local providers of legal assistance for older individuals.* The applicant should show how it will assist State and Area Agencies on Aging to work toward the development of a system for providing legal assistance and elder rights protection to older persons throughout the State. Areas for assistance could include the identification of alternative approaches to meeting legal needs and the design of and assistance in implementing strategies for supporting Area Agencies on Aging in their work with local providers. The applicant is expected to show how regular ongoing assistance and consultation in systems issues will be provided in such areas as: targeting; access; evaluation; selection of providers; priority setting; use of pro bono resources; use of volunteers; issues advocacy; and relationships with other parts of the services system.

For each of the activities it proposes to undertake, the applicant should:

- Present the current state of knowledge and experience and

document what it perceives to be serious gaps in information and practice;

- Specify the nature and scope of efforts needed to close those gaps, and how those efforts will advance the rights of older people;

- Indicate its plan for achieving national coverage of the assistance to be provided; and

- Provide detailed descriptions of specific products or outcomes proposed for development or modification.

As provided by Title IV, Section 424(c), eligibility is limited to national nonprofit legal assistance organizations experienced in providing support, on a nationwide basis, to legal assistance programs. AoA expects to fund approximately 5–7 projects under this priority area. The Federal share of project costs is expected to range from \$75,000 to \$150,000 per year depending upon the scope of the component elements of the national legal assistance support system proposed by an approved applicant. Projects may not exceed three years.

(5) Statewide Legal Hotlines for Older Americans

Consistent with Section 424(a)(2) of the Older Americans Act, which provides for the support of "demonstration projects to expand or improve the delivery of legal assistance to older individuals with social or economic needs," AoA is inviting applications from public and/or nonprofit organizations currently engaged in the provision of legal services to the elderly, to continue existing Statewide Legal Hotlines for older persons or to develop and establish new Hotlines.

With AoA assistance, Statewide Legal Hotlines have been established in Arizona, northern California, the District of Columbia, Florida, Michigan, Maine, New Mexico, Ohio, Pennsylvania, Puerto Rico and Texas. An evaluation of their operations showed that Legal Hotlines and corresponding referral services resolved 81% of callers' legal questions and 50% of their legal problems. The continuation of existing Hotlines and expansion into other States would make legal assistance available to many more older people. In that regard, Legal Hotlines are a valuable resource for implementation of the vulnerable elder rights protection programs set forth in Title VII of the Older Americans Act.

To maximize discretionary program resources and to promote a level playing field of competition, distinctions are made by AoA under this priority area between (A) applicant organizations with existing Legal Hotlines and (B)

those organizations which aspire to develop new Legal Hotlines.

Sub-Priority Area 5A: Program Improvement Grants for Existing Legal Hotlines

In order for existing Legal Hotlines to compete for program improvement grants, they must indicate in their application a willingness and intent to focus future efforts of the Hotline on those crucial and urgent concerns facing the at-risk elderly including, but not limited to, income, health care, long-term care, nutrition, housing, utilities, protective services, abuse and neglect, guardianship, age discrimination, pension and health benefits, insurance, consumer protection, surrogate decisionmaking, public benefits and dispute resolution.

To better evaluate the progress and the potential for improvement of existing Legal Hotlines competing under this sub-priority area, the application should contain the following information for each of the past three years:

- Number of households/persons served in comparison to the number of older persons in the State and the number of low income older persons in the State;
- Number of cases handled; number of calls handled;
- Average number of 1) calls and 2) cases that a Hotline attorney handles in an hour;
- Total cost per year of operating the Hotline over the past three years;
- Average cost per call; average call per case;
- If available, evaluative data on the Hotline's performance, the source of which is either the elderly clients themselves, or an independent third party, or both.

AoA expects to make 2–4 program improvement awards to existing Legal Hotlines, with a Federal share of approximately \$75,000–90,000 per year for an expected project period of approximately 3 years.

Sub-Priority Area 5B: Program Development Grants for New Legal Hotlines

Applications submitted under this priority area to operate new Legal Hotlines should be modeled after previously funded AoA Legal Hotlines. It is the applicant's responsibility to review and adapt the program experience of the District of Columbia, Puerto Rico and States with existing Hotlines to the resources, needs, and realities of their State. Applicants should recognize and reflect in their project plan that considerable time is

needed to cement the range of endorsements and agreements, and to develop other resources, essential to both the developmental and the operational phases of the Legal Hotlines project. The applicant is expected to submit a fully developed Legal Hotlines program application, including solid commitments from the appropriate participating organizations and individuals.

Based upon the experience to date, certain elements are essential to the successful establishment and effective operation of a Statewide Legal Hotline to serve older persons.

The applicant must address, at a minimum, these elements:

I. Staffing

- A. A full time managing attorney;
- B. The equivalent of two additional full-time attorneys to take calls and respond directly to older persons in need of assistance; and
- C. Staff persons to answer the phones when the attorneys are busy.

II. Telephones

- A. Two incoming toll-free lines, and one outgoing WATTS line.
- B. Experience has shown that the total telephone budget will be a minimum of \$20,000–\$25,000 per year after the Legal Hotline is operational.

III. Computer Equipment

- A. An allocation of approximately \$20,000 for computer equipment.
- B. Legal Hotline software (included in the above mentioned \$20,000) can be researched through the American Association of Retired Persons/ Legal Counsel for the Elderly (AARP/LCE).

IV. Reduced Attorneys Fees

- A. A commitment to recruit a statewide panel of attorneys in private practice willing to accept significantly reduced hourly rates as well as fee caps on common services such as \$45–\$50 for a simple will.

V. Training Program

- A. Develop and provide a training program for the Legal Hotlines attorneys and modify reference materials used in other Legal Hotlines to conform with your State law.

In approving applications for funding, the Assistant Secretary for Aging will pay particular attention to those which focus on providing services (1) to ethnic and/or racial minority older persons and (2) to those elderly in greatest economic and social need.

Applications meeting the following criteria will receive preference:

- A. Applications from States which rank in the top third of all States in either

- (1) population age 60 and above, or (2) percentage of elderly population whose income is less than 125% of the poverty line, or (3) percentage of elderly population comprised of minority elderly (African-Americans, Hispanics, Asians/Pacific Islanders, and Native Americans).

- B. Applications that show plans for special outreach activities to low income and minority older populations;
- C. Applications which demonstrate the ability to deliver services to the non-English speaking population;
- D. Applications which demonstrate that Title III/VII and Legal Services Corporation funded legal services programs within the State are willing to coordinate their services with the proposed Legal Hotline;
- E. Applications that offer the largest grantee cost sharing, and thus request the fewest AoA dollars. (The minimum grantee share of project costs is 25%);
- F. Applications which offer a practical plan for funding the Legal Hotline once the AoA grant ends.

Endorsements: Applications should include the endorsement of the State Agency on Aging and the State Bar Association, the voluntary and/or mandatory Bar, whichever is appropriate. Special justification must be provided by the applicant if these endorsements are not included in the application.

Geographic Coverage: It is highly unlikely that a single Legal Hotline would be adequate in responding to the unique size and diversity of the older population in New York and California. With the exception of these two States, Legal Hotlines will be expected to serve the entire State. AoA will consider applications which serve either (1) New York City, Nassau, and Suffolk Counties or (2) the rest of New York State, but not both areas. Because AoA is now funding a Legal Hotline which serves northern California, only application(s) to serve the elderly of southern California will be considered from that State.

AoA expects to make 2–4 program development awards for new Legal Hotlines, with a Federal share of approximately \$100,000–120,000 per year for an expected project period of approximately 3 years.

(6) Pension Information and Counseling Program

Retirement means many things to different people. For most people, it means an end to the regular workaday world of full time employment and a switch to part time work or leisure time and volunteer activities. For most

people, retirement also means a change in the amount and the source of their income.

Depending on a person's age at the time of retirement, he or she will be eligible for social security. But social security does not and was not intended to provide all the income that a person needs in retirement. Most government employees and many people in private industry are covered by some sort of pension plan to assist them in retirement. Employee pensions account for almost 20% of the income of older persons. Overall, two out of every five older household units receive income from public and/or private pension benefits other than Social Security.

The adequacy, availability, coverage, and reliability of pensions remain as issues, however. In particular, problems arise when people move from company to company during their careers, when companies go out of business, or when companies are bought out by other companies and their pension plans take on a different form. Compounding this problem are the myriad of different entitlements and restrictions that are built into different pension plans, occasionally rendering them almost unintelligible to anyone but highly trained legal experts.

Recognizing the large unmet need to provide older Americans with information and counseling in the area of pension benefits, Congress provided in Section 429J of the Older Americans Act for the funding of Pension Rights Demonstration Projects. In response to that mandate, the Administration on Aging (AoA) funded seven demonstration projects in 1993 as well as a training and technical assistance project which has provided technical support to the pension information and counseling effort.

To build on that effort, AoA intends, under priority area 6A, to fund demonstration projects at the State or local level that provide outreach, information, counseling, referral and assistance in the area of pension benefits. Preference in awarding grants will be given to applicants that propose new model programs for providing pension rights information and counseling or innovative improvements in existing models. These proposed projects shall:

- Provide counseling and assistance to individuals needing information that may assist them in establishing rights to, obtaining and filing claims or complaints relative to pension and other retirement benefits;
- Provide information on sources of pension and other retirement benefits;

- Make referrals to legal and other advocacy programs;
- Establish a system of referrals to Federal, State, and local Departments or agencies relative to pensions and other retirement benefits; and
- Establish outreach programs to provide information, counseling, assistance and referral regarding pension and other retirement benefits with particular emphasis on outreach to women, minorities and low income retirees.

Projects should consider the possibility of locating at senior centers or other places where seniors tend to congregate. They should also consider training volunteers to work with claimants on many of the details that do not require legal interventions. This has proven to be a useful vehicle for several of the pension information and counseling projects funded by AoA in 1993. Other operational factors that can be gleaned from the experience of this group of pension projects, and which applicants may wish to build upon, include the following:

- The process of pension counseling is a far more difficult process than health benefits counseling and requires volunteers who are able to cope with complexity;
- Applicants should be established, known presences in their respective communities, and should be led by experienced and enthusiastic directors;
- Imaginative and innovative use of the media for outreach is often a significant factor in a successful project;
- Successful projects develop partnerships with the private sector (e.g., lawyers and actuaries) and community agencies, as well as with local offices of Federal agencies.
- Finally, any of a variety of structures can be used to develop a successful project; e.g., the staff may or may not include lawyers or paralegals or volunteers or stipend volunteers.

Applicant eligibility for pension information and counseling demonstration project awards is limited by statute (Section 429J of the 1992 Older Americans Act Amendments) to State and Area Agencies on Aging and nonprofit organizations with proven experience in the counseling of older persons regarding retirement benefits and pension rights. AoA intends to fund approximately 5–7 projects under priority area 6A with a Federal share of approximately \$60,000–\$75,000 per year and an expected project period of 2 years. Under exceptional circumstances, the applicant may choose to submit a three year project application, provided that strong

justification is made for the additional year of activities.

Under priority area 6B, AoA intends to fund one technical assistance project that will strengthen the role of the demonstration projects, State and Area Agencies on Aging and legal services providers, both public and private, in providing pension assistance and encouraging coordination among these groups. This project will provide technical assistance to the demonstration projects and to legal services projects that seek to develop programs on pension benefits counseling. The project will (1) develop a cadre of trained legal experts who are willing to work with local personnel and claimants who need to access the private pension sector and (2) provide training for professional and volunteer personnel who will work with older Americans at the State and local level in assisting them to understand and better access their pension rights and options.

Applicants for this grant must demonstrate a strong knowledge base and a track record of providing national information, counseling, and advocacy in matters related to pension and other retirement benefits. On the basis of its strong knowledge base and its assessment of the progress of the demonstration projects, the grantee will be expected to analyze the implications of the demonstration projects in the broader context of tax policy, pension reform, and retirement planning, and to offer recommendations for future program initiatives related to pensions and income security for older Americans.

AoA intends to support this project at a Federal share of approximately \$150,000 a year for a project period of two years.

(7) Volunteer Senior Aides for Families With Disabled or Chronically Ill Children

In 1991, AoA began implementation of the Volunteer Senior Aides (VSA) Program (based on the Family Friends model) pursuant to the legislative mandate of Section 10404 of the 1989 Omnibus Budget Reconciliation Act (OBRA). Section 10404 authorized this program for community-based demonstrations to determine to what extent volunteer senior aides, by providing basic medical assistance and support to disabled/chronically ill children and their families, can reduce the cost of care for such children. (The prototype for these OBRA provisions was NCOA's Family Friends program.)

In 1991 AoA funded six VSA demonstration sites. Upon completion of their three year project periods, AoA

awarded six more grants to six other organizations for new VSA demonstrations.

Because of the continuing need for and the proven success of Family Friends and VSA, AoA is now soliciting applications to develop and implement three additional new VSA projects. Projects should be proposed to demonstrate the use of Volunteer Senior Aides to assist families of disabled/chronically ill children, thereby reducing the cost of care for such children. These projects will effectively employ the unique skills, varied experience, good will, and availability of older volunteers in assisting the Nation's children who are severely disabled or chronically ill.

VSA Project Parameters

Volunteer Senior Aides projects, usually tri-generational, are designed to benefit everyone involved. The children, who have serious, chronic illnesses or disabilities and range in age from infancy to 12 years, receive physical care, self-help instruction, emotional support, and nurturing. Their siblings may receive greater attention or may benefit indirectly as their family is strengthened, empowered. The parents (or, in some cases, grandparents) of these children are given encouragement and respite—intangibles that they need to carry on. The volunteers—aged 55 and older—have a mission and are rewarded with a sense of personal pride and accomplishment. They become less isolated, more involved in the community, and develop an affectionate relationship with their new “granddaughters” or “grandsons” and/or other family members.

The community is strengthened by older citizens voluntarily providing supportive services to younger citizens. Health care costs are reduced. And people learn to rely on each other, connecting with an “extended family” in this era of disconnected families.

The older volunteers (“family friends”) are extensively trained to find the best way to help a family. The type of help depends upon what's needed at the time. They may tutor the child, teach personal care and self-help skills, or take the child to recreational/cultural events. These volunteers often act as advocates, serving as “case coordinator” and speaking on behalf of the family to the various professionals who plan and manage the child's care. They also provide social and emotional support and, in many cases, respite to weary parents. (Respite is provided only, however, when the child is medically stable and by agreement of parents, project director, and volunteer and is

limited to half of the time the volunteer spends with the child.)

VSA/Family Friends essential program components include:

- Recruitment, screening, interviewing, and careful selection of volunteers;
- Recruitment, interviewing, and selection of families/children;
- Sixty (60) hours of intensive training for volunteers;
- Careful matching of volunteers with families, based on compatibility, proximity/transportation, personal styles and needs, health of volunteer, schedules, and language barriers;
- Supervision of volunteers;
- Fund raising and promotion of the program; and
- Project evaluation.

AoA plans to fund approximately three (3) demonstration projects under this priority area at a Federal share of approximately \$36,000 per year for a project period of up to approximately three (3) years. Eligible applicants are restricted to public or non-profit community-level agencies, organizations, or institutions proposing new Family Friends or VSA projects at the local level. These funds may not be used for continuation or expansion of existing VSA or Family Friends projects. Each proposal should include participation of both a health care facility and a social service agency. Proposals should include participation in the project by a project advisory board or committee. Because less funding is available this year than in previous years, applicants are strongly encouraged to energetically pursue sources of matching funds beyond the minimum required. AoA expects applicants to propose a level of effort which is realistic and in keeping with their funding level (from all sources).

Proposals should follow the Family Friends/VSA paradigm, briefly outlined above but thoroughly documented in materials available from NCOA's Family Friends Resource Center. Recommended materials include: Bringing Family Friends to Your Community, a manual detailing a step-by-step approach to developing and implementing these projects; and Family Friends—A Program Guide. Prospective applicants may call or write the Family Friends Resource Center at: Address: Family Friends Resource Center, National Council on the Aging, 409 Third Street SW., Washington, DC 20024, Telephone: (202) 479-6675, Fax: (202) 479-0735.

Demonstration projects funded under this priority area will receive technical assistance and guidance in the development and implementation of their projects from the Family Friends

Resource Center which was funded in FY 94 for this purpose.

Part III—Information and Guidelines for the Application Process and Review

Part III of this Announcement contains general information for potential applicants and basic guidelines for submitting applications in response to this announcement. Application forms are provided along with detailed instructions for developing and assembling the application package for submittal to the Administration on Aging (AoA). General guidelines on applicant eligibility were provided in Part I. Specific eligibility guidelines were provided in Part II under certain priority areas.

A. General Information

1. Review Process and Considerations for Funding

Within the limits of available Federal funds, AoA makes financial assistance awards consistent with the purposes of the statutory authorities governing the AoA Discretionary Funds Program and this Announcement. The following steps are involved in the review process.

a. *Notification:* All applicants will automatically be notified of the receipt of their application and informed of the identification number assigned to it.

b. *Screening:* To insure that minimum standards of equity and fairness have been met, applications which do not meet the screening criteria listed in Section D below, will not be reviewed and will receive no further consideration for funding under this Announcement.

c. *Expert Review:* Applications that conform to the requirements of this program announcement will be reviewed and scored competitively against the evaluation criteria specified in Section F, below. This independent review of applications is performed by panels consisting of qualified persons from outside the Federal government and knowledgeable non-AoA Federal government officials. The scores and judgments of these expert reviewers are a major factor in making award decisions.

d. *Other Comments:* AoA may solicit views and comments on pending applications from other Federal departments and agencies, State and Area Agencies on Aging, interested foundations, national organizations, experts, and others, for the consideration of the Assistant Secretary for Aging in making funding decisions.

e. *Other Considerations:* In making funding award decisions, the Assistant Secretary for Aging will pay particular

attention to applications which focus on older persons with the greatest economic and social need, with particular attention to the low-income minority elderly. Final decisions may also reflect the equitable distribution of assistance among geographical areas of the nation, and among rural and urban areas. The Assistant Secretary for Aging also guards against wasteful duplication of effort in making funding decisions.

f. *Other Funding Sources:* AoA reserves the option of discussing applications with, or referring them to, other Federal or non-Federal funding sources when this is determined to be in the best interest of the Federal government or the applicant.

g. *Decision-Making Process:* After the panel review sessions, applicants may be contacted by AoA staff to furnish additional information. Applicants who are contacted should not assume that funding is guaranteed. An award is official only upon receipt of the Financial Assistance Award (Form DGCM 3-785).

h. *Timeframe:* Applicants should be aware that the time interval between the deadline for submission of applications and the award of a grant is at least two months and often three months or more in duration. This length of time is required to review and process grant applications.

2. Notification Under Executive Order 12372

This is not a covered program under Executive Order 12372.

B. Deadline for Submission of Applications

The closing date for submission of applications is June 12, 1995. Applications must be either sent or hand-delivered to the address specified in Section D, below. Hand-delivered applications are accepted during the normal working hours of 9:00 a.m. to 5:30 p.m., Eastern Time, Monday through Friday. An application will meet the deadline if it is either:

1. Received at the mailing address on or before the applicable deadline date; or

2. Sent before midnight of the applicable deadline date as evidenced by either (1) a U.S. Postal Service receipt or postmark or (2) a receipt from a commercial carrier. The application must also be received in time to be considered under the competitive independent review mandated by Chapter 1-62 of the DHHS Grants Administration Manual. Applicants are strongly advised to obtain proof that the application was sent by the applicable deadline date. If there is a question as

to when an application was sent, applicants will be asked to provide proof that they have met the applicable deadline date. Private metered postmarks are not acceptable as proof of a timely submittal.

Applications which do not meet the above deadlines are considered late applications. The Office of Administration and Management will notify each late applicant that its application will not be considered under the applicable grant review competition.

AoA may extend a deadline date for applications because of acts of God, such as floods, hurricanes or earthquakes, when there is widespread disruption of the mail, or when AoA determines an extension to be in the best interest of the government. Depending upon the precipitating factor(s), the extension will apply to all potential applicants in the area affected by the natural disaster, or to all potential applicants across the nation. Notice of the extension will be published in the Federal Register.

C. Grantee Share of the Project

Under the Discretionary Funds Program, AoA does not make grant awards for the entire project cost. Successful applicants must, at a minimum, contribute one (1) dollar, secured from non-Federal sources, for every three (3) dollars received in Federal funding. The non-Federal share must equal at least 25% of the total project cost. Applicants should note that, among applications of comparable technical merit, the greater the non-Federal share the more favorably the application is likely to be considered.

There are two exceptions to this cost sharing formula. First, for applications submitted by Tribal Organizations the non-Federal share must equal at least 20% of total project costs. Second, applicants from the Virgin Islands, the Northern Mariana Islands, American Samoa, or Guam are covered by Section 501(d) of Public Law 95-134, as amended, which requires the Department to waive "any requirement for local matching funds under \$200,000."

The non-Federal share of total project costs for each budget period may be in the form of grantee-incurred direct or indirect costs, third party in-kind contributions, and/or grant related income. Indirect costs may not exceed those allowed under Federal rules established, as appropriate, by OMB Circulars A-21, A-87, and A-122. If the required non-Federal share is not met by a funded project, AoA will disallow any unmatched Federal dollars. A common

error is to match 25% of the Federal share rather than 25% of the entire project cost.

D. Application Screening Requirements

All applications will be screened to determine completeness and conformity to the requirements of this announcement. These screening requirements are intended to assure a level playing field for all applicants. Applications which fail to meet either of the two criteria described below will not be reviewed and will receive no further consideration. Complete, conforming applications will be reviewed and scored competitively.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be either postmarked by midnight, June 12, 1995, or hand-delivered by 5:30 p.m., Eastern Time, on June 12, 1995 to: Department of Health and Human Services, Administration on Aging, Office of Administration and Management, 330 Independence Avenue SW., Room 4644, Washington, D.C. 20201, Attn: AoA-95-1.

2. An application must be relevant and responsive to the priority area under which it was submitted for competitive review and funding consideration and the applicant must meet any eligibility requirements specified by that same priority area. (For everyone's benefit, the applicant should be sure that the priority area has been clearly identified in the application).

Only those applications meeting these screening requirements will be assigned to reviewers.

The applicant is also strongly advised to adhere to the following standards in preparing the application:

- The application should not exceed forty (40) pages, double-spaced, exclusive of certain required forms and assurances which are listed below. Applications whose typescript is single-spaced or space-and-a-half will be considered only if it is determined the applicant has not thereby gained a competitive advantage.

- The following documents are excluded from the 40 page limitation: (1) Standard Form (SF) 424, SF 424A (including up to a four page budget justification) and SF 424B; (2) the certification forms regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements; (3) proof of non-profit status, and; (4) indirect cost agreements.

- The following portions of the application are subject, in the aggregate, to the forty (40) page limitation:

- Summary description (suggested length: one page);
- Narrative (suggested length: twenty-five to thirty pages);
- Applicant's capability statement, including an organization chart, and vitae for key project personnel (suggested length: five to ten pages) and;
- Letters of commitment and cooperation (suggested length: four pages).

All applications will be checked against the aggregate forty (40) page limitation. Any material, of whatever content, in excess of the forty (40) page limitation will be withheld from the reviewers.

E. Funding Limitations on Indirect Costs

1. Training projects awards to institutions of higher education and other non-profit institutions are limited to a Federal reimbursement rate for indirect costs of eight (8) percent of the total allowable direct costs or, where a current agreement exists, the organization's negotiated indirect cost rate, whichever is lower. Differences between the applicant's approved rate and the 8% limitation may be used as Federal cost sharing. See Section J-2, Item 6j, below.

2. For all other applicants, indirect costs generally may be requested only if the applicant has a negotiated indirect cost rate with the Department's Division of Cost Allocation or with another Federal agency. Applicants without a negotiated indirect cost rate may apply for one in accordance with DHHS procedures and relevant OMB Circulars.

F. Evaluation Criteria

Applications which pass the screening will be evaluated by an independent review panel of at least three individuals. These reviewers, experts in the field, are from academic institutions, non-profit organizations, state and local government, and, upon occasion, Federal government agencies other than AoA. Based on the specific programmatic considerations set forth in the priority area under which an application has been submitted, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria:

- (1) Purpose and Need for Assistance (20 points),
- (2) Approach/Method - Workplan and Activities (30 points)
- (3) Anticipated Outcomes, Evaluation and Dissemination (30 points),

(4) Level of Effort (20 points).

1. Purpose and Need for Assistance
Weight: 20 points

a. Does the proposed project clearly and adequately respond to the program and/or policy issues of the priority area under which it was submitted?

b. Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purpose? Is the proposed project justified in terms of the most recent, relevant, and available information and/or knowledge?

c. Does the applicant, where appropriate, adequately describe the needs of special population groups—low income, minority, women, disabled, rural—in addressing problem(s)/conditions(s) relevant to its proposal?

2. Approach/Method—Workplan and Activities
Weight: 30 points

a. Does the proposal clearly express and organize a workplan that systematically includes specific objectives, tasks, and activities which are responsive to the statement of needs and purpose?

b. Does the workplan include a detailed schedule, with sufficient time commitments for key staff, to accomplish the proposed tasks and objectives? Is the sequence and timing of events logical and realistic?

c. Are the roles and contribution of staff, consultants, and collaborative organizations clearly defined and linked to specific objectives and tasks? Does the workplan specify who will be responsible for managing the project; for the preparation and dissemination of project results, products, and reports; and for communications with the Administration on Aging should the project be approved for funding?

3. Anticipated Outcomes, Evaluation and Dissemination
Weight: 30 points

a. Are the expected project benefits and/or results clearly identified, realistic, and consistent with the objectives of the project? Are outcomes likely to be achieved and will they significantly benefit older persons through improvement in policy or practice, and/or contribute knowledge to theory and research?

b. Is the plan for project evaluation clear and relevant to the scope of activity proposed? Does this plan identify the type of data to be collected and the method of analysis to be used in measuring project achievement and significance?

c. Does the proposal include a plan for dissemination which is likely to

increase the awareness of project activities and events during project performance? Is this plan adequate for communicating project outcomes and products to all appropriate audiences?

4. Level of Effort Weight: 20 points

a. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles?

b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with workplan objectives?

c. Are letters from participating organizations included and do they express the clear commitment and areas of responsibility of those organizations, consistent with the workplan description of their intended roles and contributions?

d. Are the writers of the proposal identified and will they be involved in its oversight and implementation? If not, is there a logical explanation for their non-participation?

G. The Components of an Application

To expedite the processing of applications, we request that you arrange the components of your application, the original and two copies, in the following order:

- SF 424, Application for Federal Assistance; SF 424A, Budget, accompanied by your budget justification; SF 424B (Assurances); and the certification forms regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements.

Note: The original copy of the application must have an original signature in item 18d on the SF 424.

- Proof of nonprofit status, as necessary;
- A copy of the applicant's indirect cost agreement, as necessary;
- Project summary description;
- Program narrative;
- Organizational capability statement and vitae;
- Letters of Commitment and Cooperation;
- A copy of the Check List of Application Requirements (See Section K, below) with all the completed items checked.

The original and each copy should be stapled securely (front and back if necessary) in the upper left corner. Pages should be numbered sequentially. In order to facilitate the handling and reproduction of the application for purposes of the review, please do not

use covers, binders or tabs. Do not include extraneous materials such as agency promotion brochures, slides, tapes, film clips, etc. It is not feasible to include such items in the review process. They will be discarded if submitted as part of the application.

H. Communications with AoA

Do not include a self-addressed, stamped acknowledgment card. All applicants will be notified by mail of the receipt of their application and informed of the identification number assigned to it. This number and the priority area should be referred to in all subsequent communication with AoA concerning the application. If acknowledgment is not received within seven weeks after the deadline date, please notify the Office of Program Development by telephone at (202) 619-0441.

After an identification number is assigned and the applicant has been notified of the number, applications are filed numerically by identification number for quick retrieval. It will be difficult for AoA staff to provide a timely response to inquiries about a specific application unless the identification number and the priority area are given.

Applicants are advised that, prior to reaching a decision, AoA will not release information to an applicant other than that its application has been received and that it is being reviewed. Unnecessary inquiries delay the process. Once a decision is reached, the applicant will be notified as soon as possible of the approval or disapproval of the application.

I. Background Information and Guidance for Preparing the Application

1. Current Projects and Previous Project Results

In the Program Narrative of the application (see Section J-6 below), applicants are expected to demonstrate familiarity with recent and ongoing activity related to their project proposal. With respect to AoA-supported discretionary grant projects, information on current AoA projects may be obtained by contacting the Office of Program Development at 202/619-0441. Regarding completed AoA projects, copies of all AoA discretionary grant final reports and printed materials are sent to: the National Aging Information Center (to be established by April/May 1995); the National Technical Information Service (NTIS), a clearinghouse and document source for Federally sponsored reports; Ageline Database, a bibliographic database

service sponsored by the American Association of Retired Persons, available online through BRS and DIALOG; and the U.S. Government Printing Office Library Program, a catalog and microfiche service for 1400 depository libraries located throughout the United States.

Information concerning access to the bibliographic and document referral services provided by these clearinghouses can be obtained through most public and academic libraries.

For direct information, use the following contacts:

- (a) National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161, (703) 487-4600
- (c) Ageline Database
 - BRS Customer Service, 8000 Westpark Drive, McLean, VA 22102, (800) 345-4BRS
 - DIALOG Customer Service, 3460 Hillview Avenue, Palo Alto, CA 94304, (800) 3DIALOG, (415) 858-2700 (in California)
- (d) U.S. Government Printing Office Acquisition Unit, Library Programs Service, North Capital and H Streets NW., Washington, DC 20401, (202) 275-1070

2. Dissemination and Utilization

The purposes and expectations associated with Title IV discretionary projects extend well beyond the immediate confines of a particular project's local impact. Projects should have a ripple effect in the field of aging in terms of replicating their design, utilizing their results, and applying their benefits to a widening circle of older persons. This section suggests certain principles of dissemination to be considered in developing your application:

- the most useful projects make dissemination and utilization a central, not peripheral, component of the project;
- dissemination starts at the beginning of a project not when it is completed;
- potential users should be involved in planning the project, if possible, and products developed with the needs of potential users in mind;
- dissemination is a networking process;
- at a minimum, dissemination includes getting your final products into the hands of appropriate users and making presentations at conferences; and
- coordination with other related projects may increase the chances of your products being used.

J. Completing the Application

In completing the application, please recognize that the set of standardized forms and instructions is prescribed by the Office of Management and Budget (approved under OMB control number 0348-0043) and is not perfectly adaptable to the particulars of AoA's Discretionary Funds Program. First-time applicants, in particular, may have some misgivings that they have not crossed the final "t" or dotted the last "i" of their application. Any applicant should, of course, take reasonable care to avoid technical errors in completing the application, but the substantive merits of the project proposal are the determining factors. In these instructions, we offer several pointers aimed at clarifying matters, overcoming difficulties, and preventing the more common technical mistakes made by applicants. If the need arises, please call (202) 619-0441 for assistance.

Forms SF 424, SF 424A, SF 424B, and the certification forms (regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements) have been reprinted as part of this Federal Register announcement for your convenience in preparing the application. Single-sided copies of all required forms must be used for submitting your application. You should reproduce single-sided copies from the reprinted form and type your application on the copies. Please do not use forms directly from the Federal Register announcement as they are printed on both sides of the page.

To assist applicants in completing Forms SF 424 and SF 424A correctly, samples of completed forms have been provided as part of this announcement. These samples are to be used as a guide only. Be sure to submit your application on the blank copies. Please prepare your application consistent with the following guidance:

1. *SF 424, Cover Page*: Complete only the items specified in the following instructions:

Top Left of Page. In the box provided, enter the number of the priority area under which the application is being submitted.

Item 1. Preprinted on the form.

Item 2. Fill in the date you submitted the application. Leave the applicant identifier box blank.

Item 3. Not applicable.

Item 4. Leave blank.

Item 5. Provide the legal name of applicant; the name of the primary organizational unit which will undertake the assistance activity; the applicant address; and the name and telephone number of the person to

contact on matters related to this application.

Item 6. Enter the employer identification number (EIN) of the applicant organization as assigned by the Internal Revenue Service. Please include the suffix to the EIN, if known.

Item 7. Enter the appropriate letter in the box provided.

Item 8. Preprinted on form.

Item 9. Preprinted on form.

Item 10. Preprinted on form.

Item 11. The title should describe concisely the nature of the project. Avoid repeating the title of the priority area or the name of the applicant. Try not to exceed 10 to 12 words and 120 characters including spaces and punctuation.

Item 12. Preprinted on form.

Item 13. Enter the desired start date for the project, beginning on or after September 1, 1995 and the desired end date for the project. Projects may be from 17 to 36 months in duration. Check the description of the priority area under which you are applying for the expected project duration.

Item 14. List the applicant's Congressional District and the District(s), if any, directly affected by the proposed project.

Item 15. All budget information entered under item #15 should cover either: (1) The total project period if that period is 17 months or less; or (2) just the first 12 months if the project period is for 24 or 36 months. The applicant should show the Federal grant support requested under sub-item 15a.

Check: Please make sure you have presented budget amounts only for the first year if you are proposing a multi-year project. A common error is to present budget totals for a full project period of 24 or 36 months in item 15. Sub-items 15b-15e are considered cost-sharing or "matching funds". Applicants should review cost sharing or matching principles contained in Subpart G of 45 CFR Part 74 before completing not just Item 15, but the Budget Information Sections A, B and C that follow. It is important that the dollar amounts entered in sub-items 15b-15e total at least 25 percent of the total project cost (total project cost is equal to the requested Federal funds plus funds from non-Federal sources). In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds. Most contributions from third parties will be non-cash or

in-kind and should not be combined with cash contributions. Examples include volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-Federal match, is projected program income derived from activities of the grant such as participant fees and sale of publications. Only program income which is to be used as part of the qualifying match should be shown here. (see Form 424, Part B and the narrative budget justification instructions below for how to show program income which is not designated as qualifying non-Federal match.

Item 16. Preprinted on form.

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

Item 18. To be signed by an authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the applicant's office.

2. SF 424A—Budget Information

This form (SF424A) is designed to apply for funding under more than one grant program; thus, for purposes of this AoA program, most of the budget item columns/blocks are superfluous and should be regarded as not applicable. The applicant should consider and respond to only the budget items for which guidance is provided below. Section A—Budget Summary and Section B—Budget Categories should include both Federal and non-Federal funding for the proposed project covering (1) the total project period if that period is 17 months or less or (2) the first 12 months if the project period is for 24, 36, or 48 months.

Section A—Budget Summary. On line 5, enter total Federal Costs in column (e) and total non-Federal Costs (including third party in-kind contributions but not program income) in column (f). Enter the total of columns (e) and (f) in column (g).

Section B—Budget Categories. Use only the last column under Section B, namely the column headed Total (5), to enter the total requirements for funds (combining both the Federal and non-Federal shares) by object class category. Do not include the in-kind (third party) match contributions shown in Item 15 on the face sheet of Form 424.

A separate budget justification should be included which shows the breakdown of budget cost items by Federal, non-Federal, and total funds and which fully explains and justifies each of the major budget items:

personnel, travel, other, etc., as outlined below. Non-Federal funds shown as a separate column in the budget line item portion of the justification is limited to cash match contributions (see instructions for item 15 on the face sheet of the 424 Form). Third party in-kind contributions and program income designated as non-Federal match contributions should be justified below the budget line items.

All budget line and non-cash match justifications must identify both the purpose and basis of dollar estimation. Formulas for application of approved indirect cost rates must be explained. All entries for item 15 on the 424 face sheet and Part B must be described in the justification. The complete budget justification should not exceed four typed pages and should immediately follow the SF 424 forms.

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

Justification: Identify the principal investigator or project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

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

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

Line 6c—Travel: 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.

Justification: Include the total number of trips, destinations, length of stay, transportation costs and subsistence allowances.

Line 6d—Equipment: Enter the total costs of all equipment to be acquired by the project. For state and local governments, including Federally recognized Indian Tribes, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. For all other grantees, the threshold for equipment is \$500 or more per unit.

Justification: Equipment to be purchased with Federal funds must be justified as necessary for the conduct of the project. The equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or

disposal of the equipment after the project ends.

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

Line 6f—Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and, (2) contracts with secondary recipient organizations including delegate agencies.

Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information.

Line 6g—Construction: Leave blank since new construction is not allowable and Federal funds are rarely used for either renovation or repair.

Line 6h—Other: Enter the total of all other costs. Such costs, where applicable, 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.

Line 6i—Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j—Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) The applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the applicant is a State or local government agency. Applicants other than state and local governments are requested to enclose a copy of this agreement. 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 also charged as direct costs to the grant.

In the case of training grants to other than state or local governments (as defined in 45 CFR Part 74), 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 total project (Federal and non-Federal) direct costs exclusive of any equipment charges, rental of space, tuition and fees, stipends, post-doctoral training allowances, contractual items, and alterations and renovations. As part of the justification, applications subject to this limitation should specify that the Federal reimbursement will be limited to 8%.

For training grant applications, the entry for line 6j should be the total indirect costs being charged to the project. The Federal share of indirect costs is calculated as shown above. The applicant's share is calculated as follows:

(a) Calculate total project indirect costs (a*) by applying the applicant's approved indirect cost rate to the total project (Federal and non-Federal) direct costs.

(b) Calculate the Federal share of indirect costs (b*) at 8 percent of the amount allowed for total project (Federal and non-Federal) direct costs exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, alterations and renovations.

(c) Subtract b* from a*. The remainder is what the applicant can claim as part of its matching cost contribution.

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

Line 7—Program Income: Estimate the amount of income, if any, expected to be generated from this project which you wish to designate as match (equal to the amount shown in Item 15 on Form 424). Warning: Any program income indicated at the bottom of Section B and item 15 on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, do not include that portion here or on Item 15 of the Form 424 face sheet. Non-match anticipated program income should be described in the Level

of Effort section of the Program Narrative.

Section C—Non-Federal Resources

Line 12—Totals: Enter amounts of non-Federal resources that will be used in carrying out the proposed project. Do not include program income unless it is used to meet match requirements.

Section D—Forecasted Cash Needs: Not applicable.

Section E—Budget Estimate of Federal Funds Needed for Balance of the Project This section should be completed only if the total project period exceeds 17 months.

Line 20—Totals: Enter the estimated required Federal funds (exclude estimates of the amount of cost sharing) for the period covering months 13 through 24 under column "(b) First;" and, if applicable, for months 25 through 36 under "(c) Second."

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

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

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

3. SF 424B—Assurances

SF 424B, Assurances—Non-Construction Programs, contains assurances required of applicants under the Discretionary Funds Program of the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances.

With the possible exception of an Assurance of Protection of Human Subjects, no other assurances are required. For research projects in which human subjects may be at risk, an Assurance of Protection of Human Subjects may be needed. If there is a question regarding the applicability of this assurance, contact the Office for Protection from Research Risks of the National Institutes of Health at (301) 496-7041.

4. Certification Forms

Certifications are required of the applicant regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

5. Project Summary Description

On a separate page, provide a project summary description headed by two identifiers: (1) The name of the applicant organization as shown in SF 424, item 5 and (2) the priority area as shown in the upper left hand corner of SF 424. Please limit the summary description to one page with a maximum of 1,200 characters, including words, spaces and punctuation.

Be specific and succinct. Outline the objectives of the project, the approaches to be used and the outcomes expected. At the end of the summary, list major products that will result from the proposed project (such as manuals, data collection instruments, training packages, audio-visuals, software packages). The project summary description, together with the information on the SF 424, becomes the project "abstract" which is entered into AoA's computer data base. The project description provides the reviewer with an introduction to the substantive parts of the application. Therefore, care should be taken to produce a summary which accurately and concisely reflects the proposal.

6. Program Narrative

The Program Narrative is the critical part of the application. It should be clear, concise, and, of course, responsive to the priority area under which the application is being submitted. In describing your proposed project, make certain that you respond fully to the evaluation criteria set forth in Section F above. The format of the narrative should, in fact, parallel the criteria, beginning with an integrated discussion of (A) the project's purpose(s), relevance, significance, and responsiveness to the priority area, which answers the questions of why the project should be undertaken and what it intends to accomplish. The next section of the narrative provides a detailed explanation of (B) the approach(es)/methodology the project will follow to achieve its purpose(s), leading to a discussion of (C) the anticipated outcomes/results/benefits of the project, how these will be evaluated, disseminated, and utilized. The narrative concludes with (D) the level of effort needed to carry out the project, in terms of the Project Director and other key staff, funding, and other resources.

Please have the narrative typed on one side of 8 1/2" x 11" plain white paper with 1" margins on both sides. All pages of the narrative (including charts, tables, maps, exhibits, etc.) should be sequentially numbered, beginning with "Objectives and Need

for Assistance" as page number one. (Applicants should not submit reproductions of larger size paper, reduced to meet the size requirement). The narrative should also identify the author(s) of the proposal, their relationship with the applicant, and the role they will play, if any, should the project be funded. This narrative guidance is in accordance with that provided in OMB Circular A-102. The checklist (see Section K, below) is consistent with that approved under OMB control number 0937-0189.

7. Organizational Capability Statement and Vitae for Key Project Personnel

The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant not included in the program narrative. Include descriptions of any current or previous relevant experience. Describe the competence of the project team and its record for preparing cogent and useful reports, publications, and other products. Include an organization chart showing the relationship of the project to the current organization. Include vitae for key project staff only.

K. Checklist for a Complete Application

The checklist below should be typed on 8½" x 11" plain white paper, completed and included in your application package. It will help in properly preparing your application.

Checklist

I have checked my application package to ensure that it includes or is in accord with the following:

- One original application plus two copies, each stapled securely (no

folders or binders) with the SF 424 as the first page of each copy of the application;

- SF 424; SF 424A—Budget Information (and accompanying Budget Justification); SF 424B—Assurances; and Certifications;
- SF 424 has been completed according to the instructions, signed and dated by an authorized official (item 18);
- The number of the priority area under which the application is submitted has been identified in the box provided at the top left of the SF 424;
- As necessary, a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency;
- Proof of nonprofit status, as necessary;
- Summary description;
- Program narrative;
- Organizational capability statement and vitae for key personnel;
- Letters of commitment and cooperation, as appropriate.

L. Points to Remember

1. There is a forty (40) double-spaced page limitation for the substantive parts of the application. Before submitting your application, please check that you have adhered to this requirement which is spelled out in Section D.
2. You are required to send an original and two copies of an application.
3. Indicate the priority area in the box at the top left hand corner of the SF 424.
4. The summary description (1,200 characters or less) should accurately reflect the nature and scope of the proposed project.
5. To meet the cost sharing requirement (see Section C above), you must, at a minimum, match \$1 for every \$3 requested in Federal funding to reach 25% of the total project cost. For example, if your request for Federal funds is \$90,000, then the required minimum match or cost sharing is

\$30,000. The total project cost is \$120,000, of which your \$30,000 share is 25%.

6. Indirect costs of training grants may not exceed 8%.

7. In following the required format for preparing the program narrative, make certain that you have responded fully to the four (4) evaluative criteria which will be used by reviewers to evaluate and score all applications.

8. Do *not* include letters which endorse the project in general and perfunctory terms. In contrast, letters which describe and verify tangible commitments to the project, e.g., funds, staff, space, should be included.

9. If duplicate applications are submitted under different priority areas, AoA reserves the right to select the single priority area under which it will be reviewed.

10. If more than one project application is submitted, each should be submitted under separate cover.

11. Before submitting the application, have someone other than the author(s): 1) apply the screening requirements to make sure you are in compliance; and 2) carry out a trial run review based upon the evaluative criteria. Take the opportunity to consider the results of the trial run and then make whatever changes you deem appropriate.

12. Each application must be mailed by midnight, June 12, 1995 or hand-delivered by 5:30 p.m., Eastern Time, on June 12, 1995.

Mail or hand-deliver the application to: Department of Health and Human Services, Administration on Aging, Office of Administration and Management, 330 Independence Avenue SW., Room 4644, Washington, D.C. 20201 Attn: AoA-95-1.

Dated: April 6, 1995
Fernando M. Torres-Gil,
Assistant Secretary for Aging.

BILLING CODE 4150-04-P

APPLICATION FOR FEDERAL ASSISTANCE		OMB Approval No. 0348-0043	
1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input checked="" type="checkbox"/> Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/>		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE Not Applicable	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 the person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): [] [] - [] [] [] [] [] [] [] []		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> 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): _____	
16. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 9 3 0 4 8 TITLE: Special Programs for the Aging-- Title IV		9. NAME OF FEDERAL AGENCY: Administration on Aging	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Nation-wide Applicability		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
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	b. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$.00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

Previous Editions Not Usable

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

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BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS	93,048	\$	\$	\$	\$	\$
SECTION B — BUDGET CATEGORIES						
6. Object Class Categories		(1)	(2)	(3)	(4)	Total (5)
a. Personnel		\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

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

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	\$
SECTION D - FORECASTED CASH NEEDS					
	Total for 1995 Year				4th Quarter
	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
13. Federal	\$	\$	\$	\$	\$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				(e) Fourth
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION (Attach additional sheets if necessary)					
21. Direct Charges:					
22. Indirect Charges:					
23. Remarks					

SF 421A (4-88) Page 2
Prescribed by OMB Circular A-102

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APPLICATION FOR FEDERAL ASSISTANCE		6.7	2. DATE SUBMITTED May 30, 1995	Applicant Identifier
1. TYPE OF SUBMISSION: <input type="checkbox"/> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE Not Applicable		State Application Identifier
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY: Federal Identifier		
5. APPLICANT INFORMATION				
Legal Name: ABC Agency			Organizational Unit: Division on Aging	
Address (give city, county, state, and zip code): 1234 Craig Avenue Parsons, MT			Name and telephone number of the person to be contacted on matters involving this application (give area code): Edwin Wallach Marcus (345) 678-9012	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 2 3 - 4 5 6 7 8 9 0			7. TYPE OF APPLICANT: (enter appropriate letter in box) B 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. Joint Organization N. Other (specify)	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):			9. NAME OF FEDERAL AGENCY: Administration on Aging	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 9 3 a 0 4 8			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Improved Long Term Care Services	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Nation-wide Applicability				
13. PROPOSED PROJECT: Start Date: 09/01/95 Ending Date: 08/31/97		14. CONGRESSIONAL DISTRICT OF: a. Applicant: 3 b. Project: 2-5		
15. ESTIMATED FUNDING: a. Federal \$ 100,000.00 b. Applicant \$ 33,333.00 c. State \$.00 d. Local \$.00 e. Other \$.00 f. Program Income \$.00 g. TOTAL \$ 133,333.00		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES: THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO: <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" 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 Mike Spurlock		b. Title Executive Director		c. Telephone number (987)654-3210
d. Signature of Authorized Representative		e. Date Signed May 27, 1995		

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OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS	93,048	\$	\$	\$ 100,000	\$ 33,333	\$ 133,333
SECTION B — BUDGET CATEGORIES						
6. Object Class Categories		(1)	(2)	(3)	(4)	Total (5)
a. Personnel		\$	\$	\$	\$	\$ 60,000
b. Fringe Benefits						16,000
c. Travel						5,000
d. Equipment						
e. Supplies						3,333
f. Contractual						7,000
g. Construction						N.A.
h. Other						15,000
l. Total Direct Charges (sum of 6a - 6h)						106,333
j. Indirect Charges						27,000
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$ 39,333	\$	\$	\$ 39,333	
SECTION D - FORECASTED CASH NEEDS					
	Fiscal Year	FUTURE FISCAL PERIODS (Years)			
		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	Fiscal Year	FUTURE FISCAL PERIODS (Years)			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTALS (sum of lines 16-19)	\$ 100,000	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION					
(Attach additional sheets if necessary)					
21. Direct Charges:					
22. Indirect Charges:					
23. Reprints					

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ASSURANCES — NON-CONSTRUCTION PROGRAMS

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (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.
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 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 or any agency, a Member of Congress, an officer or employee 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 or any agency, a Member of Congress, an officer or employee of Congress, or an Federal contract, grant, loan or cooperative agreement, the undersigned shall complete an 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.

Organization

Authorized Signature	Title	Date
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NOTE: If Disclosure Forms are required, please contact: Margaret A. Tolson, Director; Grants Management Division; 330 Independence Avenue, S.W., Room 4256-COEN; Washington, D.C. 20201-0001

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS - PRIMARY COVERED TRANSACTIONS**

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

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

(b) have not within a 3-year period preceding this proposal been convicted 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 or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

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

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

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

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS - PRIMARY COVERED TRANSACTIONS**
(To Be Supplied to Lower Tier Participants)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(Continued on reverse side of this sheet)

HHS--Certification Regarding Drug-Free Workplace Requirements--continued from reverse page

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

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

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