U.S. Department of Health and Human Services
Centers for Medicare & Medicaid Services
Center for Medicare & Medicaid Innovation

Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program

Initial Announcement

Authority: Section 1110 Social Security Act

Funding Opportunity Number: CMS-1I0-15-001
Competition ID: CMS-1I0-15-001-054232

Catalog of Federal Domestic Assistance (CFDA) No. 93.779

Fiscal Year 2015

Applicable Dates:

FOA Posting Date: June 9, 2015
Letter of Intent Due Date: June 16, 2015
Grants.gov Electronic Application Due Date: August 10, 2015
(3:00 PM Eastern Day Light Time (Baltimore, Maryland)

Anticipated Notice of Award Date: September 30, 2015
Anticipated Period of Performance/Budget Period: 24 Months

TABLE OF CONTENTS

I. EXECUTIVE SUMMARY……**3**

II. FUNDING OPPORTUNITY DESCRIPTION ……...**4**
1. Purpose……4
2. Authority……4
3. Background……5
4. Program Requirements……6

III. **AWARD INFORMATION……8**
1. Total Funding……....8
2. Award Amount……8
3. Anticipated Award Date……....8
4. Period of Performance……8
5. Number of Awards……....8
6. Type of Award……8

IV. ELIGIBILITY INFORMATION ……**9**
1. Eligible Applicants……9
2. Cost Sharing……9

V. APPLICATION INFORMATION …… **9**
1. Address to Request Application Package……9
2. Content and Form of Application Submission……10
3. Submission Dates and Times…… 14
4. Intergovernmental Review……....14
5. Funding Restrictions…… 14

VI. APPLICATION REVIEW INFORMATION……**15**
1. Criteria……15
2. Review and Selection Process……18
3. Anticipated Award Dates……18

VII. AWARD ADMINISTRATION INFORMATION……**18**
1. Award Notices……18
2. Administrative and National Policy Requirements……18
3. Terms and Conditions……20
4. Reporting……20

VIII. AGENCY CONTACTS ……**22**

IX. APPENDICES……..**24**

APPENDIX A: Sample Budget and Narrative Justifications
APPENDIX B: Application and Submission Information
APPENDIX C: Application Check-Off List Required Contents

I. EXECUTIVE SUMMARY

The Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program, as authorized under Section 1110 Social Security Act, provide funding opportunities to support researchers in implementing health services research activities to meet the needs of diverse CMS beneficiary populations. The goals of the grant program are to: 1) encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and Children Health Insurance Programs (CHIP); 2) assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries; 3) assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American communities; 4) increase the pool of HBCU researchers capable of implementing the research, demonstration, and evaluation activities of CMS; 5) promote research that will be aimed at developing a better understanding of health care services pertaining to African Americans; and 6) assist in fostering inter-university communication and collaboration regarding African American health disparity issues.

This grant program is consistent with Executive Order 13532 - White House Initiative on HBCUs, Promoting Excellence, Innovation, and Sustainability at HBCUs. The Initiative is housed in the Department of Education. It directs executive departments, agencies, and offices, the private sector, educational associations, philanthropic organizations, and other partners to increase the capacity of HBCUs to provide the highest-quality education to a greater number of students, and to take advantage of these institutions' capabilities in serving the Nation's needs through the following five core tasks: 1) strengthening the capacity of HBCUs to participate in Federal programs; 2) fostering private-sector initiatives and public-private partnerships while promoting specific areas and centers of academic research and programmatic excellence throughout HBCUs; 3) improving the availability, dissemination, and quality of information concerning HBCUs to inform public policy and practice; 4) sharing administrative and programmatic practices within the HBCU community; and 5) exploring new ways of improving the relationship between the Federal Government and HBCUs.

Funding is available for grants to implement research related to health care delivery and health financing issues affecting African American communities, including issues of access to health care, utilization of health care services, health outcomes, quality of services, cost of care, health disparities, socio-economic differences, cultural barriers, and activities related to health screening, prevention, outreach, and education.

Funding Opportunity Title:	Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program
Announcement Type:	New
Funding Opportunity Number:	CMS-1I0-15-001
Catalog of Federal Domestic Assistance:	93.779
Letter of Intent to Apply Due Date:	June 16, 2015
Application Due Date:	August 10, 2015
Anticipated Notice of Award:	September 30, 2015
Performance/Budget Period:	24 Months
Anticipated Total Available Funding:	$215,000
Estimated Number and Type of Awards:	1 or possibly 2 Grant Awards
Estimated Award Amount:	$215,000
Estimated Award Date:	September 30, 2015
Eligible Applicants:	See Section IV. Eligibility Information of FOA

I**I. FUNDING OPPORTUNITY DESCRIPTION:**

1. Purpose

The Centers for Medicare & Medicaid Services (CMS) is announcing the availability of funds under this grant program to assist Historically Black Colleges and Universities (HBCUs) in conducting health services and health disparities research for 2015. The purpose of the grant program is to support researchers in implementing health services research activities to meet the needs of diverse CMS beneficiary populations. The goals of the grant program are to: 1) encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and Children Health Insurance Programs (CHIP); 2) assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries; 3) assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American communities; 4) increase the pool of HBCU researchers capable of implementing the research, demonstration, and evaluation activities of CMS; 5) promote research that will be aimed at developing a better understanding of health care services pertaining to African Americans; and 6) assist in fostering inter-university communication and collaboration regarding African American health disparity issues.

2. Authority

This grant program is under the authority of Section 1110 of the Social Security Act and is consistent with Executive Order 13532 - White House Initiative on HBCUs, Promoting Excellence, Innovation, and Sustainability at HBCUs. The Initiative is housed in the Department of Education. It directs executive departments, agencies, and offices, the private sector, educational associations, philanthropic organizations, and other partners to increase the capacity of

HBCUs to provide the highest-quality education to a greater number of students, and to take advantage of these institutions' capabilities in serving the Nation's needs through the following five core tasks: 1) strengthening the capacity of HBCUs to participate in Federal programs; 2) fostering private-sector initiatives and public-private partnerships while promoting specific areas and centers of academic research and programmatic excellence throughout HBCUs; 3) improving the availability, dissemination, and quality of information concerning HBCUs to inform public policy and practice; 4) sharing administrative and programmatic practices within the HBCU community; and 5) exploring new ways of improving the relationship between the Federal Government and HBCUs.

Funding is available for grants to implement research related to health care delivery and health financing issues affecting African American communities, including issues of access to health care, utilization of health care services, health outcomes, quality of services, cost of care, health disparities, socio-economic differences, cultural barriers, and activities related to health screening, prevention, outreach, and education.

3. Background

This funding opportunity announcement seeks competitive applications for small applied research projects that relate to identifying and evaluating solutions for eliminating health disparities among the African American population. Additionally, the project should enhance the capacity of HBCUs to successfully compete for CMS research and program funds in the future. HBCUs are expected to become involved in the design, implementation, and operation of research projects that address health care issues such as financing, delivery, access, quality, and barriers affecting the African American community. CMS is seeking these types of research projects because of its belief that HBCUs play a pivotal role in finding solutions to the many difficult health issues that have a significant impact on the health of African Americans. The unique expertise, knowledge, reputation, and sensitivity that HBCU investigators can bring to the design, implementation, and operation of such research will be a key to advancing the national, state and local agenda of eliminating health disparities.

The President's Board of Advisors on HBCUs supports strengthening the educational capacity of HBCUs through various mechanisms. This grant program is consistent with the Executive Order - White House Initiative on HBCUs, Promoting Excellence, Innovation, and Sustainability at HBCUs. Each executive department and agency designated by the Secretary of Education shall prepare an annual plan (agency plan) of its efforts to strengthen the capacity of HBCUs through increased participation in appropriate Federal programs and initiatives. Each agency plan shall propose efforts to: 1) establish how the department or agency intends to increase the capacity of HBCUs to compete effectively for grants, contracts, or cooperative agreements and to encourage HBCUs to participate in Federal programs; 2) identify Federal programs and initiatives in which HBCUs may be either underserved or underused as national resources; and 3) encourage public-sector, private-sector, and community involvement in improving the overall capacity of HBCUs. CMS's HBCU Health Services Research Grant Program complies with the Executive Order. This program is one strategy to increase the participation, promotion, and professional development of HBCU investigators in health services, health disparities, and health equity research.

CMS is committed to developing a partnership with HBCUs to achieve the goals of the President's Executive Order. CMS wants to ensure that HBCUs receive opportunities to compete for its

extramural research funds and gain a better understanding of its research interests. This announcement is related to the priority area of CMS's research programs for health care and financing issues in the African American community. The announcement meets the Healthy People 2020 goal of eliminating disparities and addresses the Healthy People 2020 focus area of health communication.

4. Program Requirements

The purpose of this announcement is to support HBCU researchers in carrying out health services and health disparities research activities to meet the needs of diverse CMS beneficiary populations. The goals of the HBCU Health Services Research Grant Program are to:

- Encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and Children Health Insurance programs;

- Assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries;

- Assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American community;

- Increase the pool of HBCU researchers capable of implementing the research, demonstration, and evaluation activities of CMS;

- Promote research that will be aimed at developing a better understanding of health care services pertained to African Americans; and

- Assist in fostering inter-university communication and collaboration regarding African American health disparity issues.

Health Issues of Concern

CMS is interested in the following types of applications:

a) Applications that address research on disseminating information and improving health related attitudes, knowledge, beliefs, and practices related to the following six health priority conditions:

1) Diabetes,
2) Cancer Screening and Management,
3) Cardiovascular Disease,
4) HIV/AIDS (Among Medicare or Medicaid Beneficiaries),
5) Adult and Childhood Immunizations,
6) Infant Mortality.

Other Population Specific Health Concerns:

1) Asthma,
2) Obesity,
3) Mental Health.

b) Applications to research the effectiveness of programs designed to:

1) Increase disease management, self-management, disease prevention, and health promotion.
2) Increase the use of preventive services (for example – colorectal, mammography, and prostate screening; children with asthma who are Medicaid recipients).
3) Improve health outcomes among Medicare and/or Medicaid beneficiaries as these issues relate to the six health priority conditions and other population specific health concerns listed above.
4) Remove barriers and improve access to health services.
5) Reduce health disparities and socioeconomic differences in health services.
6) Increase the efficient utilization of health services.
7) Improve quality of care.
8) Reduce health care costs.
9) Promote care coordination between providers of services and minority beneficiaries.
10) Support community-based advisory health groups to improve health services for minority beneficiaries.

All applications should describe the research to be conducted with relevance to the CMS Medicare, Medicaid, and Children Health Insurance Program, and which area of Healthy People 2020 is served by this project.

Types of Studies

CMS is interested in supporting the following two types of studies:

1) **Educational Intervention Studies**. These studies will inform at-risk populations about certain health problems especially as they relate to African Americans. A follow-up plan should be developed to determine the effectiveness of the intervention. An example might include developing an educational program to enhance the awareness, knowledge, and understanding of African Americans about prevention, treatment, services, and/or strategies for accessing the health care system. The project should reach a minimum of **350** participants.

2) **Developmental Intervention Studies**. These studies will develop promising new approaches to reducing disease, encouraging changes in health behavior, and promoting health among African Americans. For example, using computers to disseminate health-related information or testing the effectiveness of a health hotline in reducing health disparities. The project should reach a minimum of **350** participants.

Examples of Research Intervention Models

1) Educational Outreach
2) Train the Trainer
3) Community based organizations
4) Community health navigators
5) Community health workers
6) Community Based Case Managers
7) Health Professional Networks.

III. AWARD INFORMATION:

1. Total Funding

The total amount of federal funds available is anticipated to be $215,000, possibly $430,000.

2. Award Amount

The amount of each grant award made to eligible applicants will be $215,000.

3. Anticipated Award Date

The anticipated award date is September 30, 2015.

4. Period of Performance

The anticipated budget and project period for each grant awarded will be 24 months from the date of award. The estimated budget and project period is September 30, 2015 through September 29, 2017.

5. Number of Awards

The estimated number of awards is 1, with a possibility of 2 awards.

6. Type of Award

These awards will be structured as a Grant Agreement. The Federal Grant and Cooperative Agreement Act of 1977, 31 U.S.C. 6301, defines a grant agreement as the legal instrument reflecting a relationship between the United States Government and a State, a local government, or other recipient when the principal purpose of the relationship is to transfer a thing of value to the State or local government or other recipient to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government. Therefore substantial involvement is not expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement. The difference between grants and cooperative agreements is the degree of Federal programmatic involvement rather than the type of administrative requirements imposed. Therefore, statutes,

regulations, policies, and the information contained in the HHS Grants Policy Statement that are applicable to grants also apply to cooperative agreements, unless the award itself provides otherwise.

IV. ELIGIBILITY INFORMATION

1. Eligible Applicants

An HBCU must meet **one** of the following two requirements in order to qualify for funding under this grant program:

1) Offer a Ph.D. or Master's Degree Program in one or more of the following disciplines:

- Allied Health
- Gerontology
- Health Care Administration
- Nursing
- Pharmacology
- Public Health
- Social Work; **or**

2) Have a School of Medicine

2. Cost Sharing

CMS's grant authority under section 1110 of the Social Security Act requires cost-sharing by applicants. To comply with this requirement, CMS is requiring that applicants provide cost-sharing equal to at least one percent (1%) of the amount of the award. This cost-sharing requirement may be satisfied through in-kind contributions. **Applications that do not include Cost Sharing will not be considered for further review**.

V. APPLICATION INFORMATION

1. Address to Request Application Package

Application materials will be available at http://www.grants.gov. Please note that HHS requires applications for all announcements to be submitted electronically through Grants.gov. Applicants will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website. Refer to Appendix B *Application and Submission Information*, for specific instructions.

For assistance with the Grants.gov online process including but not limited to the registration process, technical difficulties with completing the application, and password retrieval, please contact Grants.gov directly at 1-800-518-4726 or support@grants.gov.

2. Content and Form of Application Submission

The investigator must complete and submit an application package. Each application must include the contents described below, in the order indicated, and in conformity with the following specifications:

Applications that do not follow the guidelines below will not be reviewed:

- **The project narrative portion of the application shall not exceed 25 typewritten double-spaced pages. <u>Please ensure that the project narrative is page-numbered (1-25)</u>.**
- Font size must be no smaller that 12-point with an average character density no greater than 14 characters per inch.
- **The budget narrative portion of the application shall not exceed 10 typewritten single-spaced pages.**
- **The required appendices shall not exceed 15 pages.**
- **While additional documentation may also be submitted, such materials should be limited to information relevant to the specific scope and purpose of the proposed project, and shall not exceed 10 pages.**
- Each application received from an eligible institution will be reviewed for merit by a panel of technical experts. Since CMS anticipates a large number of applications for each panel member to review, it is important that your application be concise, yet thorough.

Please ensure that the project narrative is page-numbered (1-25). The following items **should <u>not</u> be included in the Project Narrative portion of the application,** and, therefore, will not be included in the 25 page limit:

- Standard Forms from the Application Forms Kit;
- Applicant's Cover letter;
- Project Abstract;
- Budget Narrative/Justification.
- **A complete application should consist of the following documents as outlined below in parts (a) through (h):**

a) <u>Standard Forms from the Application Kit</u>

The following Standard Forms (SF) must be enclosed as part of the application.

SF-424: Official Application for Federal Assistance
SF-424A: Budget Information Non-Construction
SF-424B: Assurances - Non-Construction Programs
SF LLL: Disclosure of Lobbying Activities
Project/Performance Site Location(s) Form

Note: On SF 424 "Application for Federal Assistance":

- Item 15 "Descriptive Title of Applicant's Project." Please indicate in this section the name of this grant funding opportunity: "Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program."
- Check box "C" to item 19, as Review by State Executive Order does not apply to this grant award.

b) Cover Letter

The cover letter shall be addressed to Linda Gmeiner, Grants Management Specialist, and shall include the principal investigator's (PI) name as well as the fiscal person who is responsible for completing financial reports (i.e. SF-425 and PSC 272); a brief description of the proposed project; the targeted population; and the contact information for your organization (**name, phone number, fax, and e-mail address**). The letter must also include the names of all institutions collaborating in the project and indicate that the applicant institution has clear authority to perform the proposed activities and is capable of implementing this project. The cover letter shall be included in the application package and uploaded to Grants.gov.

c) Letter of endorsement from the President or another official from the institution

The application must include a letter of endorsement from the President or another official from the applicant institution as part of the appendices section of your application.

d) Project Abstract

The one-page abstract (single-spaced) should serve as a succinct description of the proposed project and should include the goals of the project, the total budget, and a description of how the grant will be used. The abstract is often distributed to provide information to the public and Congress, so please write the abstract so that it is clear, accurate, concise, and without reference to other parts of the application. Personal identifying information should be excluded from the abstract.

e) Project Narrative

The 25-page project narrative shall provide a concise and complete description of the proposed project. It shall contain the information necessary for the review panelists to fully understand the project and cover all aspects of the project. The five points outlined below briefly describe the Project Narrative requirements. Please see Section V. Application Review Information, 1. Criteria, for more detailed information on formatting and content requirements that should be followed when submitting the Project Narrative.

1) Statement of the problem - Describe what the investigator wants to do and why – (e.g. the problem that is being addressed) – background, significance, need, project purpose, goals and objectives, and relevance to CMS mission/programs (for example, Medicare, Medicaid, or CHIP).

2) Methodology of the proposed project - How does the investigator intend to implement the project?

3) Ability to implement the research project - Discuss the implementation strategy and management plan (work plan).

4) Institutional structure, capabilities, and budget - Does the institution have the structure and capacity to conduct the research project? Is there a plan for budget and performance monitoring?

5) Collaboration with a HBCU, and/or community-based/health organization, faith-based organization, social organization, State Territorial/Office of Minority Health - Describe the type and degree of collaboration.

f) <u>Budget Narrative/Justification</u>

The budget narrative portion of the application should not exceed 10 typewritten single-spaced pages. Applicants must provide a **detailed breakdown** of the aggregate numbers for the budget recorded on Standard Form 424A (SF 424A) "Budget Information for Non-Construction Programs," through submission of a detailed Budget Narrative. The Budget Narrative shall include a yearly breakdown of costs for the two-year grant period of performance. Specifically, the Budget Narrative shall provide a detailed cost breakdown for each line item outlined in the SF-424A by year including a breakdown for each activity/cost within the line item. The proportion of grant funding designated for each activity should be clearly outlined and justify the institution's readiness to receive funding through 2017 including complete explanations and justifications for the proposed grant activities. The budget must clearly identify what funds will be administered directly by the lead agency and what will be subcontracted to other partners. The designated lead agency is solely responsible for the fiscal management of the project.

The following budget categories should be addressed (as applicable):

- Personnel
    - NOTE: Consistent with section 203 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) none of the funds appropriated in this law shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.
- Fringe benefits
- Contractual costs, including subcontracts
- Equipment
- Supplies
- Travel
- Indirect charges. The total indirect costs shall **not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.
- Other costs, including those not otherwise associated with training and education.

The Budget Narrative shall outline the strategies and activities of the program, and provide cost breakdowns for any subcontracts that will be implemented to achieve anticipated outcomes.

The Budget Narrative shall also clearly distinguish the funding source of any given activity/cost, as either Federal or Non-Federal. Applicants should pinpoint those costs funded through in-kind contributions. Applicants must include detailed salary and fringe benefit costs for staff dedicated to the project through an in-kind contribution, to include yearly salary costs and the percentage of time dedicated to the project (for any given year).

The total budget for each award should include **both direct and indirect costs**. The total indirect costs **should not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.

The Budget Narrative Attachment Form can be found in the Grants Application Package at www.Grants.gov; select the Budget Narrative Attachment Form and "Add Mandatory Budget Narrative". Completion of the Standard form, SF 424A, is also required and is an important part of our proposal and will be reviewed carefully by HHS staff.

For detailed application content, format and submission instruction, please refer to Appendix B: *Application and Submission Information*.

g) Required Appendices (15 page limit)

- Key Staff Qualifications - Include a biographical sketch or resume of key staff members describing their qualifications.
- Project Work plan/Timeline - Include a detailed project work plan and timeline.
- Letters of Agreement, Endorsement, or Support – In addition to including an endorsement from the President or another official from your institution, please also provide endorsements from collaborating organizations outlining their contributions, roles, and responsibilities relative to the project and commitments that have been pledged for the proposed project. Include individual letters of support, as appropriate.
- Memoranda of Understanding - Include documentation reflecting the collaborative relationships between relevant institutions.
- Institutional Review Board Approval - Include the outcome of the request for Institutional Review Board approval.

h) Additional Supporting Documentation (10 page limit)

Additional supporting documentation may be submitted; however, such materials should be limited to information relevant to the specific scope and purpose of the proposed project, and shall not exceed 10 pages.

NOTE: If the application does not comply with the guidelines in this announcement (proper format, project abstract, etc.) it will not be considered for further review.

Acceptable applications, (i.e., those that meet the above criteria) will be reviewed using the procedures as described.

3. Submission Dates and Times

You must submit your application electronically through Grants.gov by **3:00 PM Eastern Daylight Time** (Baltimore, MD) on **August 10, 2015**. Applications submitted through Grants.gov constitute electronically signed applications. The registration and E-Authorization process establishes the Authorized Organizational Representative (AOR). When you submit the application through Grants.gov, the name of your representative on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR.

Late applications: Any application that is received after the due date and time will be deemed a "late application." Those institutions submitting a late application will be notified (upon request) that the application was not considered in the competition.

Letter of Intent

Applicants are encouraged to submit a Letter of Intent (LOI). However, a LOI is not required and an applicant's submission or failure to submit a LOI has no bearing on the scoring of applications received. The LOI enables CMS to better plan for the application review process.

Prospective applicants choosing to submit an LOI are asked to submit it by **June 16, 2015**. The LOI should include a title and description of the proposed project, address, and telephone number of the investigator(s), the identities of other key personnel, and the names of participating institutions. The LOI should not exceed one page. The information received from the LOI allows CMS to estimate the potential review workload and facilitates planning for the review process.

The LOI shall be emailed to Dr. Richard Bragg, Project Officer at Richard.Bragg@cms.hhs.gov.

4. Intergovernmental Review

Applications for this grant are not subject to review by States under Executive Order 12372, "Intergovernmental Review of Federal Programs." Please check box "C" on item 19 of the SF 424 (Application for Federal Assistance) as Review as by State Executive Order 12372 does not apply to this grant program.

5. Funding Restrictions

a) Grant funds may be used for any of the following:

- Personnel costs, which may include project support staff and contracts for collaboration.
- Costs of data collection and transmission.
- Travel costs as they pertain to the administration and conduct of the grant.
- Training cost for program participants.

- Indirect costs which do not exceed 8% of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.
- All travel, conference, and meeting expenses must be consistent with HHS guidelines, and may require CMS prior approval.

b) Grant funds <u>may not</u> be used for any of the following:

- To provide direct services to individuals except as explicitly permitted under the grant announcement.
- To match any other Federal funds.
- To provide services, equipment, or supports that are already the legal responsibility of another party under Federal law.

VI. APPLICATION REVIEW INFORMATION

1. Criteria

CMS will use the following evaluation criteria to evaluate all applications for inclusion in the program. The total score for the evaluation criteria is 100 points.

To assist applicants in preparing the application and to aid the technical panel in its review, the narrative portion of the application should be written using the following format:

- Statement of the Problem;
- Methodology;
- Ability to Implement the Research Project;
- Institutional Structure, Capabilities, and Budget;
- Collaboration with a HBCU and/or Community-Based/Health Organization, Faith-Based Organization, Social Organization, State/Territorial Office of Minority Health.

The panel reviewer shall score the application based on the following:

a) Statement of the Problem

The application must demonstrate that the applicant has a thorough understanding of the specific health problem(s) within the targeted population and the strategies required to address the problem(s) identified. The applicant should clearly describe the proposed project explaining what the researcher plans to do and why. This section of the application must describe the:

- Background, significance, and need for the project;
- Project purpose, goals, and objectives ;
- Relevance of the project to CMS's mission/programs. How the project will improve the overall health outcomes and quality of care, reduce health

disparities, and achieve savings for the targeted population (Medicare, Medicaid, or CHIP programs);
- Supporting research materials/Review of Literature.

Panel scoring: 20 Maximum Points

b) Methodology

The applicant should explain how the research team intends to implement the project. The applicant should make a complete and concise presentation of the methodology that will be implemented in this project. The proposal should provide clear and convincing evidence and supporting materials that are appropriate for the project that are likely to improve quality of care and reduce health disparities for the targeted population. Any innovative features of the proposed project should be highlighted. The application must include:

- Study design and intervention strategies **(include in the appendix brief samples of focus group guides and questionnaires to be used);**
- Hypotheses/research questions;
- Data collection and data analysis plan, as appropriate;
- Targeted population and setting;
- Expected outcomes;
- A plan for evaluation of the project;
- Information about the Institutional Review Board (IRB) Approval **(include in appendix a copy of the letter of approval or the information to be submitted to the IRB).**

Panel scoring: 30 Maximum Points

c) Ability to Implement the Research Project

The applicant should provide detailed information to demonstrate their technical understanding and capability of performing the requirements of the project, including:

- A detailed implementation strategy and plan that includes a management plan (work plan) describing tasks, responsible individuals, timelines, and costs. **A timetable of not more than 24 months with specific key actions and milestones should be included in the appendix.**
- The capabilities/responsibilities of all personnel and a description of how the personnel will be organized, to whom they will report, and their role in accomplishing the goals and objectives and components of the project.

Panel scoring: 20 Maximum Points

d) Institutional Structure, Capabilities, and Budget

The applicant should demonstrate clear and convincing evidence that the institution has the organizational infrastructure and management capacity to conduct the research project effectively, including:

- Evidence of the availability and adequacy of the facilities, equipment, and financial management systems to conduct the project;
- A plan for budget and performance monitoring - **(How does the PI plan to monitor the budget?);**
- Protocols to guide the administrative aspects of the project - **(How does the PI plan to interact with the Office of Sponsored Programs, Grant Office, Contract Office to administer the project?).**

In addition, the proposed budget and budget narrative are carefully developed and reflect efficient and reasonable use of funds. Overhead and administrative costs are reasonable, with funding focused on operations rather than administration. The proposed budget request reflects a promising investment given the expected impact of the health services research activities.

The evaluation will consider whether the applicant possesses the organizational infrastructure and management capacity to conduct the research project, as well as a comprehensive budget reflecting all costs of staffing for implementing the health services research activities,

Panel scoring: 15 Maximum Points

e) Collaboration with a HBCU and/or Community Based/Health Organization, Faith Based Organization, Social Organization, State Territorial Office of Minority Health

The applicant should describe the types and degrees of the collaborative relationships supporting the proposed research project that have been established or that may be established between the applicant HBCU and other HBCUs or community organizations. This description should include specific information about the roles and responsibilities of each collaborator on the project. Letters of support from collaborating organizations outlining their contributions, roles, and responsibilities relative to the research project should be included in the application. **Include letters of support in the appendix**. Collaborating organizations may include the following:

- Other HBCUs;
- Community-Based Health Organizations;
- Faith-Based Organizations;
- Social Organizations;
- State/Territorial Offices of Minority Health.

Panel scoring: 15 Maximum Points

2. Review and Selection Process

- Applications will be screened to determine eligibility for further review using the criteria detailed in this solicitation. Applications received late or that fail to meet the eligibility requirements as detailed in the solicitation or do not include the required forms will not be reviewed.

- An independent review will be conducted by a panel of experts. The panel will conduct an independent, objective review of all responsive applications. The panelists will assess each application based on the review criteria to determine the merits of the proposal and the extent to which it furthers the purposes of the research program. The panelists' comments and recommendations will be condensed into a summary statement that will assist CMS in making the final award decisions. CMS will use the information to judge the likelihood that the project will be successfully implemented and will have tangible, beneficial outcomes.

- Applications determined to be ineligible, incomplete, and/or non-responsive based on the initial screening may be eliminated from further review. However, the CMS/OAGM/GMO, in his or her sole discretion, may continue the review process for an ineligible application if it is in the best interest of the government to meet the objectives of the program.

3. Anticipated Award Date

The applicant will receive written notification of the award decision. It is anticipated that an award will be made to a successful applicant(s) before September 30, 2015.

VII. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Successful applicants will receive a Notice of Award (NoA) signed and dated by the HHS Grants Management Officer. The NoA is the document authorizing the grant award and will be sent by electronic mail to the awardee as listed on its SF-424. Any communication between HHS and applicants prior to issuance of the NoA is not an authorization to begin performance of a project.

Unsuccessful applicants will be notified by letter, sent electronically or through the U.S. Postal Service to the applicant organization as listed on its SF-424, within 30 days of the award date.

2. Administrative and National Policy Requirements

The following standard requirements apply to applications and awards under this FOA:

a) Specific grant administrative requirements, as outlined in 2 CFR Part 200 and 45 CFR Part 75, apply to this cooperative agreement opportunity.

b) All awardees receiving awards under this project must comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:

i. Title VI of the Civil Rights Act of 1964,
ii. Section 504 of the Rehabilitation Act of 1973,
iii. The Age Discrimination Act of 1975, and
iv. Title II Subtitle A of the Americans with Disabilities Act of 1990.

c) All equipment, staff, other budgeted resources, and expenses must be used exclusively for the projects identified in the applicants original grant application or agreed upon subsequently with HHS, and may not be used for any prohibited uses.

Grant Agreements and Cooperative Agreements are administered in accordance with the following program requirements, regulations, policies, and cost principles:

The criteria as outlined in this grant announcement and in section 1110 of the Social Security Act.

Administrative Regulations for Grants:

- Title 45, Code of Federal Regulations, Part 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local and Tribal Governments.
- Title 45, Code of Federal Regulations, Part 75, HHS codification of 2 CFR Part 200, with agency-specific amendments.
- Title 48, Code of Federal Regulations, subpart 31.2 - Cost Principles for Contracts with Commercial Organizations.

Grants Policy:

- HHS Grants Policy Statement, Revised 01/07.

Cost Principles:

- Title 2, Code of Federal Regulations, Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) – effective December 26, 2014 [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl]

Audit Requirements:

- Title 2, Code of Federal Regulations: Uniform Administrative Requirements, Part 200, Subpart F- Audit Requirements, Sections 200.500 - 200.521 (previously OMB Circular A-133).

Indirect Costs

The total indirect costs **should not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.

3. Terms and Conditions

This solicitation is subject to the Department of Health and Human Services Grants Policy Statement (HHS GPS) at http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary. Standard and program specific terms of award will accompany the NoA. Potential applicants should be aware that special requirements could apply to cooperative agreement awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the application by the HHS review panel. The recently released Uniform Guidance (2 CFR Part 200) and HHS regulations (45 CFR Part 75) supersedes information on administrative requirements, cost principles, and audit requirements for grants and cooperative agreements included in the current HHS Grants Policy Statement where differences are identified. Awardees must also agree to respond to requests that are necessary for the evaluation of national efforts and provide data on key elements of their own cooperative agreement activities.

HHS may terminate any CMS award for material noncompliance. Material noncompliance includes, but is not limited to, violation of the terms and conditions of the award; failure to perform award activities in a satisfactory manner; improper management or use of award funds; or fraud, waste, abuse, mismanagement, or criminal activity.

All recipients must avoid conflicts of interest in the award and administration of contracts. Recipients should comply with 2 CFR Part 200, Procurement Standards as outlined in §§ 200.317 to 200.326.

In the event a Recipient or one of its sub-Recipients enters into proceedings relating to bankruptcy, whether voluntary or involuntary, the Recipient agrees to provide written notice of the bankruptcy to CMS. This written notice shall be furnished within five (5) days of the initiation of the proceedings relating to bankruptcy filing and sent to the CMS Grants Management Specialist and Project Officer. This notice shall include the date on which the bankruptcy petition was filed, the identity of the court in which the bankruptcy petition was filed, a copy of any and all of the legal pleadings, and a listing of Government grant and cooperative agreement numbers and grant offices for all Government grants and cooperative agreements against which final payment has not been made.

4. Reporting

All successful applicants under this announcement must comply with the following reporting and review activities:

Progress Reports

Awardees must agree to cooperate with any Federal evaluation of the HBCU grant program and must provide weekly, monthly, quarterly, and final (at the end of the grant agreement period) reports, as required, in the form prescribed by HHS, as well as any additional reports as required. Reports will be submitted electronically. The Special Terms and Conditions attached to the grant award will provide specific information for when progress reports will be due. The program progress narrative report elements – are as follows:

i. Program Name;

ii. Program Leader Name;

iii. Reporting Period;

iv. Budget Status - include amounts for planned expenditure, actual expenditure, and deficit/surplus;

v. Work Plan Chart/Timeline status;

vi. Project description - short summary;

vii. Milestones - Milestones are high-level goals that often define the phases of a project. Record here milestones that have been reached at this point in the project;

viii. Accomplishments - Tasks that were accomplished during this reporting period;

ix. Projected Goals - Goals projected to be completed during the next reporting period; and

x. Issues - Issues that must be addressed for the project to be successful.

The final progress report is estimated to be due 90 days after the end of the project period.

Federal Financial Report (FFR)

The Federal Financial Report (FFR or Standard Form 425) has replaced the SF-269, SF-269A, SF-272, and SF-272A financial reporting forms. All grantees must utilize the FFR to report cash transaction data, expenditures, and any program income generated.

Awardees must report on a quarterly basis cash transaction data via the Payment Management System (PMS) using the FFR in lieu of completing a SF-272/SF272A. The FFR, containing cash transaction data, is due within 30 days after the end of each quarter. The quarterly reporting due dates are as follows: 4/30, 7/30, 10/30, 1/30. A Quick Reference Guide for completing the FFR in PMS is at: www.dpm.psc.gov/grant_recipient/guides_forms/ffr_quick_reference.aspx.

In addition to submitting the quarterly FFR to PMS, Grantees must also provide, on an annual basis, an FFR to CMS which includes their expenditures and any program income generated in lieu of completing a Financial Status Report (FSR) (SF-269/269A). Expenditures and any program income generated should only be included on the annually submitted FFR, as well as the final FFR. Annual hard-copy FFRs are due within 90 calendar days of the applicable year end date. The final FFR is due within 90 calendar days of the project period end date.

Additional information on financial reporting will be provided in the terms and conditions of award.

Federal Funding Accountability and Transparency Act Reporting Requirements

New awards issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252 and implemented by 2 CFR Part 170. Grant and Cooperative Agreement recipients must report information for each first-tier sub-award of $25,000 or more in Federal funds and executive total compensation for the recipient's and sub-recipient's five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at https://www.fsrs.gov/).

Payment Management Requirements

Awardees must submit a quarterly electronic SF-425 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the cooperative agreement. Failure to submit the report may result in the inability to access Cooperative Agreement funds. The SF-425 Certification page should be faxed to the PMS contact at the fax number listed on the SF-425, or it may be submitted to:

Division of Payment Management
HHS/ASAM/PSC/FMS/DPM
PO Box 6021
Rockville, MD 20852

Telephone: (877) 614-5533

VIII. AGENCY CONTACTS

Questions concerning this grant program are encouraged. Requests to clarify any issues from potential applicants are welcome. Please contact:

Richard Bragg, Ph.D.
Project Officer
Centers for Medicare & Medicaid Services
Center for Medicare and Medicaid Innovation
Mail Stop WB-06-05
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-7250
e-mail - Richard.bragg@cms.hhs.gov

Direct inquiries regarding grant procedures, fiscal matters, or guidance in completing the application forms to:

Linda Gmeiner
Grants Management Specialist
Centers for Medicare & Medicaid Services
OAGM/Division of Grants Management
Mail Stop B3-30-03
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-9954
e-mail – Linda.gmeiner@cms.hhs.gov

IX. APPENDICES

APPENDIX A: Sample Budget and Narrative Justifications

Detailed Budget and Expenditure Plan

All applicants must submit a Form SF 424A and Budget Narrative Attachment Form. For this grant agreement the application must include budgets for each year. Project proposals should include leveraging other funding resources, including private payers, foundations, and internal funding (if applicable). Overhead and administrative costs must be reasonable.

In addition, applicants must supplement Budget Form SF 424A with a Budget Narrative. The Budget Narrative must include a yearly breakdown of costs for the entire project period. Specifically the Budget Narrative should provide a detailed cost breakdown for each line item outlined in the SF 424A by year, including a breakdown of costs for each activity/cost within the line item. The Budget Narrative should reflect the organization's readiness to receive funding, providing complete explanations and justifications for the proposed grant agreement activities. The budget must separate out funding that is administered directly by the awardee from any funding that will be subcontracted.

All applicants must submit an SF 424A. To fill out the budget information requested on form SF 424A, review the general instructions provided for the SF 424A and follow the instructions outlined below.

<u>Section A – Budget Summary</u>

- *Grant Program Function or Activity* (column a) = Enter *[*"*Title of the Grant Project*"*]* in row 1.
- *New or Revised Budget, Federal* (column e) = Enter the Total Federal Budget Requested for the project period in rows 1 and 5.
- *New or Revised Budget, Non-Federal* (column f) = Enter Total Amount of any Non-Federal Funds Contributed (if applicable) in rows 1 and 5.
- *New or Revised Budget, Total* (column g) = Enter Total Budget Proposed in rows 1 and 5, reflecting the sum of the amount for the Federal and Non-Federal Totals.

<u>Section B – Budget Categories</u>

- Enter the total costs requested for each Object Class Category (Section B, number 6) for each year of the 2-year project period.
- Column (1) = Enter the heading for this column as Year 1. Enter Year 1 costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j. The total for direct and indirect charges for all year 1 line items should be entered in column 1, row k (sum of row i and j).
- Column (2) = Enter the heading for this column as Year 2 (as applicable). Enter Year 2 costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j. The total for direct and indirect charges for all year 2 line items should be entered in column 2, row k (sum of row i and j).
- Column 6 = Enter total costs for both of the two years of the project period for each line item (rows a-h), direct total costs (row i), and indirect costs (row j). The total costs for all line items for the

two years should be entered in row k (sum of row i and j). The total in column 6, row k should match the total provided in Section A – Budget Summary, New or Revised Budget, column g, row 5.

Allowable Costs

Allowable costs include (but are not limited to):

- Staff participation and travel to learning collaboratives and workshops and other learning and diffusion opportunities. All travel must include information as to who is traveling, where, flight or mileage, per diem, hotel, etc. Information as to how the travel is necessary to achieve the goals of the program must be included.
- Data collection.
- Performance measure development.
- Business process analysis .

Detailed costs and breakdown for each SF 424A line item:

A. Personnel:
An employee of the applying agency whose work is tied to the application

TABLE 1: FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Program Director	John Doe	$150,000	10%	$15,000
Project Coordinator	To be selected	$50,000	100%	$50,000
			TOTAL	$65,000

NARRATIVE JUSTIFICATION: Enter a description of the Personnel funds requested and how their use will support the purpose and goals of this proposal. Be sure to describe the role, responsibilities and unique qualifications of each position. For each requested position, provide the following information: name of staff member occupying the position, if available; annual salary; percentage of time budgeted for this program; total months of salary budgeted; and total salary requested.

Note: Consistent with Section 203 of the Consolidated Appropriations Act, 2012 (P.L.112-74) none of the funds appropriated in this law shall be used to pay the salary of an individual through a grant or other extramural mechanism, at a rate in excess of Executive Level II ($183,300/year).

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A for year 1):
$65,000

B. Fringe Benefits
Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct

costs. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed. List all components of fringe benefits rate.

TABLE 2: FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	$65,000	$4,973
Workers Compensation	2.5%	$65,000	$1,625
Insurance	10.5%	$65,000	$6,825
		TOTAL	$13,423

NARRATIVE JUSTIFICATION: Enter a description of the Fringe funds requested, how the rate was determined, and how their use will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A)**: $13,423**

C. Travel:
Explain need for all travel. The lowest available commercial fares for coach or equivalent accommodations must be used. Do not exceed GSA rates.

1. Elaborate and justify the necessity of the travel/training/conference.
2. For each occurrence, please provide the following:
    - A copy of the agenda/training syllabus.
    - Identify which staff will be traveling.
    - How will this travel/conference/training impact the implementation of the program? Is it necessary to implement the award?
    - Travel costs (mileage, flight, hotel, per diem), etc.
3. What evaluation mechanism will be used to determine the impact of this training/conference on the outcomes of the award?

If approved, a conference summary is required 30 days after the meeting date. A summary should respond to the following questions:

1. As a result of this training/conference, the following impact was made on our project:
2. We anticipate these changes will affect our outcomes in the following ways (describe anticipated changes in the following areas):
3. The annual report should include follow-up information as to whether or not these changes were realized.

TABLE 3: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
Patient Visits	Neighboring areas of XXX	Mileage=	$.056 x 2 persons	$400
Training (name)	Chicago, IL	Airfare	$200/flight x 2 persons	$400
		Hotel	$140/night x 2 persons x 3 nights	$840
		Per Diem (meals)	$49/day x 2 persons x 4 days	$400
			TOTAL	$2,040

NARRATIVE JUSTIFICATION: Describe the purpose of travel and how costs were determined. See below CMS travel/conference guidelines.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A): **$2,040**

D. Equipment:

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more. If applicant agency defines "equipment" at lower rate, then follow the applying agency's policy.

TABLE 4: FEDERAL REQUEST

Item(s)	Rate	Cost
None		0
	TOTAL	

NARRATIVE JUSTIFICATION: Enter a description of the Equipment and how its purchase will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF424A): **$ 0**

E. Supplies: Materials costing less than $5,000 per unit and often having one-time use

TABLE 5: FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	$50/mo. x 12 mo.	$600
Postage	$50/mo. x 12 mo.	$600
Laptop Computer	$500 x 2	$1000
Printer	$300	$300
Cell Phones	$100 x 2	$200
Copies	8000 copies x .10/copy	$800
Computer update (if needed)		$477
	TOTAL	$4,077

NARRATIVE JUSTIFICATION: Enter a description of the Supplies requested and how their purchase will support the purpose and goals of this proposal. For all electronic and computing devices (laptops, tablets, cell phones, etc.) under the $5,000 threshold, a control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. This control system should include any information necessary to properly identify and locate the item. For example: serial # and physical location of laptops and tablets. Please list staff assignments and percent of effort for laptops, Ipads, cell phones, etc.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF424A): **$4,077**

F. Consultant/Contractual Costs:
The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. Cooperative Agreement recipients must submit to HHS the required information establishing a third-party contract to perform program activities, a complete itemization of the costs should be attached to the budget. If there is more than one contractor, each must be budgeted separately and must have an attached itemization. A consultant is a non-employee who provides advice and expertise in a specific program area. Hiring a consultant requires submission of consultant information to HHS.

Required Reporting Information for Consultant Hiring

This category is appropriate when hiring an individual who gives professional advice or provides services (e.g. training, expert consultant, etc.) for a fee and who is not an employee of the grantee organization. Submit the following required information for consultants:

1. Name of Consultant: Identify the name of the consultant and describe his or her qualifications.
2. Organizational Affiliation: Identify the organization affiliation of the consultant, if applicable.
3. Nature of Services to be Rendered: Describe in outcome terms the consultation to be provided including the specific tasks to be completed and specific deliverables. A copy of the actual consultant agreement should not be sent to HHS.

4. Relevance of Service to the Project: Describe how the consultant services relate to the accomplishment of specific program objectives.
5. Number of Days of Consultation: Specify the total number of days of consultation.
6. Expected Rate of Compensation: Specify the rate of compensation for the consultant (e.g., rate per hour, rate per day). Include a budget showing other costs such as travel, per diem, and supplies.
7. Justification of expected rates: Provide a justification for the rate, including examples of typical market rates for this service in your area.
8. Method of Accountability: Describe how the progress and performance of the consultant will be monitored. Identify who is responsible for supervising the consultant agreement.

If the above information is unknown for any consultant at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. In the body of the budget request, a summary should be provided of the proposed consultants and amounts for each.

Required Information for Contract Approval

All recipients must submit to HHS the following required information for establishing a third-party contract to perform project activities.

1. Name of Contractor: Who is the contractor? Identify the name of the proposed contractor and indicate whether the contract is with an institution or organization.
2. Method of Selection: How was the contractor selected? State whether the contract is sole source or competitive bid. If an organization is the sole source for the contract, include an explanation as to why this institution is the only one able to perform contract services.
3. Period of Performance: How long is the contract period? Specify the beginning and ending dates of the contract.
4. Scope of Work: What will the contractor do? Describe in outcome terms, the specific services/tasks to be performed by the contractor as related to the accomplishment of program objectives. Deliverables should be clearly defined.
5. Method of Accountability: How will the contractor be monitored? Describe how the progress and performance of the contractor will be monitored during and on close of the contract period. Identify who will be responsible for supervising the contract.
6. Itemized Budget and Justification: Provide an itemized budget with appropriate justification. If applicable, include any indirect cost paid under the contract and the indirect cost rate used.

If the above information is unknown for any contractor at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. Copies of the actual contracts should not be sent to HHS, unless specifically requested. In the body of the budget request, a summary should be provided of the proposed contracts and amounts for each.

TABLE 6: FEDERAL REQUEST

Name		Cost
1. To be selected	Environmental Strategy Consultation Rate is $150/day for 40 days = $6,000 Travel 175 miles @ .565/mile = $100	$6,100
2. To be selected	Media 1.5 minute Public Service Announcement (PSA)	$3,000
3. To be selected	Evaluation Report	$4,000
4. To be selected	Training for Staff members Trainers: rate is $300/day for 4 days = $1,200 Materials: approx. $5/person X 25 people = $125 Room Rental = $75 Travel for Trainers = Flight $300/person X 2 people = $600 Per Diem - $50/day x 4 days x 2 people = $400	$2,400
5. To be selected	Data Analysis	$2,000
6. To be selected	Responsible Server Training Trainer: rate $500/day	$500
7. To be selected	Television advertising to run ads 5x/week x $50/ad X 52 wks.	$13,000
	TOTAL	$31,000

NARRATIVE JUSTIFICATION: Explain the need for each agreement and how their use will support the purpose and goals of this proposal. For those contracts already arranged, please provide the proposed categorical budgets. For those subcontracts that have not been arranged, please provide the expected Statement of Work, Period of Performance and how the proposed costs were estimated and the type of contract (bid, sole source…etc.)

FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF424A): **$31,000**

G. Other: Expenses not covered in any of the previous budget categories

TABLE 7: FEDERAL REQUEST

Item	Rate	Cost
8. Rent	$500/mo x 12 mo.	$6,000
9. Telephone	$100/mo. x 12 mo.	$1,200
10. Student Surveys	$1/survey x 3000	$3,000
11. Brochures	.80/brochure X 1500 brochures	$1,200
12. Web Service	$100/mo x 12 mo	$1,200
	TOTAL	$12,600

NARRATIVE JUSTIFICATION: Explain the need for each item and how their use will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit: i.e. cost/square foot and explain the use of each item requested.

FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF424A): **$12,600**

H. Total Direct Charges: Sum of Total Direct Costs

FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF424A)

- **I. Indirect Charges:** The total indirect costs shall **not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.

Sample Budget
The rate is ___% and is computed on the following direct cost base of $_____.

Personnel $_____
Fringe $_____
Travel $_____
Supplies $_____
Other $_____
Total $_____ x ___% = Total Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)

J. TOTALS: Sum of Total Direct Costs and Indirect Costs for Year 1

FEDERAL REQUEST (enter in Section B column 1 line 6k of form F424A)

Program Income
Application must indicate whether program income is anticipated. If program income is anticipated, use the format below to reflect the amount and sources(s).
Budget Period:
Anticipated Amount:
Sources:

APPENDIX B: Application and Submission Information

Employer Identification Number

All applicants must have a valid Employer Identification Number (EIN), otherwise known as a Taxpayer Identification Number (TIN) assigned by the Internal Revenue Service. All applicants under this announcement must have an Employer Identification Number/Taxpayer Identification Number (EIN/TIN) to apply. **Please note that applicants should begin the process of obtaining an EIN/TIN as soon as possible after the announcement is posted to ensure this information is received in advance of application deadlines.**

Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS number)

All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in order to apply. A DUNS number must be provided in order to submit an application through the Government-wide electronic portal, www.Grants.gov. The DUNS number is a nine-digit identification number that uniquely identifies business entities. To obtain a DUNS number, access the following website: www.dunandbradstreet.com or call 1-866-705-5711. This number should be entered in the block with the applicant's name and address on the cover page of the application (Item 8c on the Form SF-424, Application for Federal Assistance). The organization name and address entered in block 8a and 8e should be exactly as given for the DUNS number**. Applicants should obtain this DUNS number as soon as possible after the announcement is posted to ensure all registration steps are completed in time.**

System for Award Management (SAM)

All applicants must register in the System for Award Management (SAM)* database (https://www.sam.gov/portal/public/SAM) in order to be able to submit an application at http://www.grants.gov. In order to register, applicants must provide their DUNS and EIN numbers. Each year organizations and entities registered to apply for Federal grants through Grants.gov must renew their registration with SAM. **Each year organizations and entities must renew their registration with SAM. Failure to renew SAM registration prior to application submission will prevent an applicant from successfully applying via Grants.gov. Similarly, failure to maintain an active SAM registration during the application review process can prevent HHS from issuing your agency an award under this program. Applicants should begin the SAM registration process as soon as possible after the announcement is posted to ensure that it does not impair your ability to meet required submission deadlines.** Applicants must successfully register with SAM prior to submitting an application or registering in the Federal Funding Accountability and Transparency Act Sub award Reporting System (FSRS) as a prime awardee user; awardees **may make sub awards only to entities that have DUNS numbers.**

Organizations must report executive compensation as part of the registration profile at https://www.sam.gov/portal/public/SAM by the end of the month following the month in which this award is made, and annually thereafter (based on the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended

by Section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170). The Grants Management Specialist assigned to monitor the sub award and executive compensation reporting requirements is Iris Grady, who can be reached at divisionofgrantsmanagement@cms.hhs.gov.

*Applicants were previously required to register with the Central Contractor Registration. The CCR was a government-wide registry for organizations that sought to do business with the federal government. CCR collected, validated, stored, and disseminated data to support a variety of federal initiatives. This function is now fulfilled by SAM. SAM has integrated the CCR and will also incorporate 7 other Federal procurement systems into a new, streamlined system. If an applicant had an active record in CCR prior to the rollout of SAM, an active record would be available in SAM. However, more than a year has passed since the rollout of SAM, so entities must ensure its registration with CCR (through SAM) is still active prior to applying under this funding opportunity. Please consult the SAM website listed above for additional information.

Cost Sharing or Matching

Cost sharing/matching is required under this grant program. Please refer to Section IV. Eligibility Information of this FOA.

Continued Eligibility

Awardees must meet all reporting deadlines to be eligible to continue throughout the full 24-month budget period. In addition, awardees will be required to demonstrate strong performance during the first 12 months of the grant to be demonstrated in a 12-month performance summary.

Letter of Intent to Apply [Not Required/Optional]

Applicants are encouraged to submit a Letter of Intent (LOI). However, a LOI is not required and an applicant's submission or failure to submit a LOI has no bearing on the scoring of applications received. The LOI enables CMS to better plan for the application review process.

Application Information

This FOA contains all the instructions to enable a potential applicant to apply. The application should be written primarily as a narrative with the addition of standard forms required by the Federal government for all grants and cooperative agreements.

Application Materials

Application materials will be available for download at http://www.grants.gov. Please note that HHS requires applications for all announcements to be submitted electronically through http://www.grants.gov. For assistance with http://www.grants.gov, contact support@grants.gov or 1-800-518-4726. At Grants.gov, applicants will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website.

Specific instructions for applications submitted via http://www.grants.gov**:**

- You may access the electronic application for this project at http://www.grants.gov. You must search the downloadable application page by the CFDA number.

- At the http://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. HHS strongly recommends that you do not wait until the application due date to begin the application process through http://www.grants.gov because of the time needed to complete the required registration steps.

- The applicant must be register in the System for Award Management (SAM) database in order to be able to submit the application. Applicants are encouraged to register early, and must have their DUNS and EIN/TIN numbers in order to do so.

- Authorized Organizational Representative: The Authorized Organizational Representative (AOR) who will officially submit an application on behalf of the organization must register with grants.gov for a username and password. AORs must complete a profile with Grants.gov using their organization's DUNS Number to obtain their username and password at http://grants.gov/applicants/get_registered.jsp. AORs must wait one business day after successful registration in SAM before entering their profiles in Grants.gov. **Applicants should complete this process as soon as possible after successful registration in SAM to ensure this step is completed in time to apply before application deadlines.**

- When an AOR registers with Grants.gov to submit applications on behalf of an organization, that organization's E-Biz POC will receive an email notification. The email address provided in the profile will be the email used to send the notification from Grants.gov to the E-Biz POC with the AOR copied on the correspondence.

- The E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the special password called "M-PIN") and approve the AOR, thereby providing permission to submit applications.

- **Any files uploaded or attached to the Grants.Gov application must be PDF file format and must contain a valid file format extension in the filename. Even though Grants.gov allows applicants to attach any file formats as part of their application, CMS restricts this practice and only accepts PDF file formats. Any file submitted as part of the Grants.gov application that is not in a PDF file format, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process. In addition, the use of compressed file formats such as ZIP, RAR, or Adobe Portfolio will not be accepted. The application must be submitted in a file format that can easily be copied and read by reviewers. It is recommended that scanned copies not be submitted through Grants.gov unless the applicant confirms the clarity of the documents. Pages cannot be reduced in size, resulting in multiple pages on a single sheet, to avoid exceeding the page limitation. All documents that do not conform to the above specifications will be excluded from the application materials during the review process.**

- After you electronically submit your application, you will receive an acknowledgement from Grants.gov that contains a Grants.gov tracking number. HHS will retrieve your application package from Grants.gov. **Please note, applicants may incur a time delay before they receive acknowledgement that the application has been accepted by the Grants.gov system. Applicants should not wait until the application deadline to apply because notification by Grants.gov that the application is incomplete may not be received until close to or after the application deadline, eliminating the opportunity to correct errors and resubmit the**

application. Applications submitted after the deadline, as a result of errors on the part of the applicant, will not be accepted.

- After HHS retrieves your application package from Grants.gov, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by Grants.gov.

Applications cannot be accepted through any email address. Full applications can only be accepted through http://www.grants.gov. Full applications cannot be received via paper mail, courier, or delivery service.

All grant applications must be submitted electronically and be received through http://www.grants.gov by the applicable due date and time. **Applications not successfully submitted to Grants.gov by the due date and time will not be eligible for review.** All applications will receive an automatic time stamp upon submission and applicants will receive an email reply acknowledging the application's receipt.

Please be aware of the following:

1) Search for the application package in Grants.gov by entering the CFDA number. This number is shown on the cover page of this announcement.
2) If you experience technical challenges while submitting your application electronically, please contact Grants.gov Support directly at: www.grants.gov/customersupport or (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on Federal holidays).
3) Upon contacting Grants.gov, obtain a tracking number as proof of contact. The tracking number is helpful if there are technical issues that cannot be resolved.

To be considered timely, applications must be received by the published deadline date. However, a general extension of a published application deadline that affects all State applicants or only those in a defined geographical area may be authorized by circumstances that affect the public at large, such as natural disasters (e.g., floods or hurricanes) or disruptions of electronic (e.g., application receipt services) or other services, such as a prolonged blackout. This statement does not apply to an individual entity having internet service problems. In order for there to be any consideration there must be an effect on the public at large.

Grants.gov complies with Section 508 of the Rehabilitation Act of 1973. If an individual uses assistive technology and is unable to access any material on the site including forms contained with an application package, they can email the Grants.gov contact center at support@grants.gov or call 1-800-518-4726.

APPENDIX C: Application Check-Off List Required Contents

Required Contents

A complete proposal consists of the materials organized in the sequence below. Please ensure that the project and budget narratives are page-numbered and the below forms are completed with an electronic signature and enclosed as part of the proposal. **Everything listed below must be submitted through Grants.gov, and formatting requirements followed, or your application will not be reviewed.**

For specific requirements and instructions on application package, forms, formatting, please see:

Section V: *Application Information*
Appendix B: *Application and Submission Information*
Appendix A: *Sample Budget and Narrative Justifications*

Forms

- ☐ SF 424: Application for Federal Assistance
- ☐ SF-424A: Budget Information
- ☐ SF-424B: Assurances-Non-Construction Programs
- ☐ SF-LLL: Disclosure of Lobbying Activities
- ☐ Project Abstract Summary

Application Kit

- ☐ Project Narrative Attachment Form
- ☐ Budget Narrative Attachment Form