

**U.S. Department of Health and Human Services
Office of the Assistant Secretary for Preparedness and Response**

**Funding Opportunity Announcement
and Grant Application Instructions**

Funding Opportunity Title:

**Smallpox Research Oversight Activities: WHO Advisory Committee on
Variola Virus Research**

Funding Opportunity Number:

EP-IDS-15-003

FY 2015

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U.S. Department of Health and Human Services (HHS)
Assistant Secretary for Preparedness and Response (ASPR)
Biomedical Advanced Research and Development Authority (BARDA)

Announcement Type: New
Funding Opportunity Number: EP-IDS-15-003

Catalog of Federal Domestic Assistance (CFDA) Number:

- 93.019 – Assistance and Provision for Foreign Hospitals and Health Organizations

Dates: All applications must be submitted by: September 10, 2015 11:59 PM Eastern Standard Time via GrantSolutions

I. FUNDING OPPORTUNITY DESCRIPTION

1. Statutory Authority

42 U.S.C. 241 and 247d-7e (Sections 301 and 319L of the Public Health Service Act)

2. Background

Smallpox is an acute contagious disease caused by variola virus, a member of the *Orthopoxvirus* genus. It was one of the world's most feared diseases until it was eradicated by a collaborative global vaccination program led by the World Health Organization. The last known natural case was in Somalia in 1977. Upon eradication, all existing stockpiles of the virus were moved, by international agreement, to two "WHO International Collaborating Centres"—the Centers for Disease Control and Prevention (CDC) in Atlanta, Georgia, USA, and the State Research Center of Virology and Biotechnology, Novosibirsk, Russia. Under this agreement, any and all work with Variola virus by either group must be directly approved through an oversight committee established by the WHO. The U.S. maintains a need to work directly with the virus for its strategic needs in developing medical countermeasures, such as vaccines, drugs, and diagnostic systems as a defense against potential bioterrorism threats.

The U.S. Government supports the development of medical products, including vaccines and drugs, for use within the U.S. upon verification of a smallpox case. The U.S. government, through the Office of the Assistant Secretary for Preparedness and Response (ASPR), has successfully developed vaccine products, and is actively engaged in the development of several drug candidates for smallpox therapies, which require access to the Variola virus to satisfy regulatory requirements for product approvals.

3. Project Overview

A natural re-emergence of smallpox is not deemed possible, but if it were to occur as a result of a terrorist or deliberate event, it would be a potentially devastating threat

to public health worldwide and would constitute a public health emergency of international concern (PHEIC) under the International Health Regulations (IHR) (2005). A case of smallpox detected by a member state requires notification to WHO as soon as possible, and any confirmed smallpox case would generate an immediate global public health response.

Since May 1999, when the 52nd World Health Assembly (WHA) resolved to postpone the destruction of the Variola virus to allow for this essential research (WHA 52.10), WHO has been charged with convening a group of experts to advise on the need for continuing such research, to review proposals for research involving viable Variola virus, to review the progress of such research, and to report to the WHA each year. The need to support the activities described in this project has not changed. The Variola virus research and stocks destruction are expected to be substantive agenda items at the 70th World Health Assembly in 2017.

4. Proposed Goals, Objectives and Activities:

Goal: To ensure the development of medical countermeasure products to protect against a potential emergence of smallpox and to establish a diagnostic capacity able to identify a re-emergence of smallpox, particularly under conditions where systemic orthopoxvirus infections such as monkeypox, vaccinia virus infection or cowpox, and other non-pox viral rash illnesses, such as chicken pox, may cause clinical diagnostic confusion.

Objective 1: To support the advisory groups for the review and analysis of pertinent research with regard to variola virus research.

Objective 2: To evaluate any available information forthcoming from the smallpox biological synthesis working group on the implications for ACVVR regarding research needs related to medical countermeasure development.

5. Cooperative Agreement Award

The Federal Grant and Cooperative Agreement Act of 1977, 31 U.S.C. 6305, defines the cooperative agreement as similar to a grant in that a thing of value is transferred to a recipient to carry out a public purpose. However, a cooperative agreement is used whenever substantial federal involvement with the recipient during performance is anticipated. The difference between grants and cooperative agreements is the degree of federal programmatic involvement rather than the type of administrative requirements imposed.

The administrative and funding mechanism used for this program will be the cooperative agreement for which substantial ASPR programmatic involvement with awardees is anticipated during the performance period. This award is subject to the awardee(s) and collaborative requirements and responsibilities set forth in the Cooperative Agreement outlined in the program announcement under this funding

opportunity and are hereby incorporated by reference as terms and conditions of this award.

6. ASPR Responsibilities

This award is being co-funded by HHS components, including the Office of the Assistant Secretary for Preparedness and Response (ASPR) within the Office of the Secretary, NIH and CDC. ASPR will be administering the award.

ASPR/BARDA will be responsible for the review and approval of program activities including, but not limited to, ensuring that funds are used and activities are conducted in accordance with the terms and conditions of the award. ASPR/BARDA will also approve timelines and review progress of the program as well as monitor reporting requirements. Progress evaluation will include the development of a matrix with goals, objectives, outputs, timelines and milestones and the oversight of proposed activities through quarterly reports and on-site joint visits with program managers and others in the United States Government (USG) as needed.

7. HHS – ASPR Activities

ASPR/BARDA staff collaborator(s) and/or designee(s) activities for this program are as follows:

- Participate in orientation and/or summary update meetings with the awardee on expectations, regulations and key management requirements, as well as reporting requirements and formats and contents.
- Participate in the development, review and approval of the awardee's annual work plan, detailed budget, and monitoring and evaluation plan.
- Meet via teleconference on a monthly basis with the awardee to assess technical and financial progress
- Provide awardee with technical assistance and consultation in identification of appropriate resources outside of both the awardee and HHS to support awardee activities.
- Coordinate activities and synergies with the awardee for this FOA with other ASPR/BARDA awardees.
- Work cooperatively with the awardee to assure that all necessary information and progress resulting from this cooperative agreement is provided to the Assistant Secretary for Preparedness and Response in a format that will allow the Department of Health and Human Services to assess the continuing benefits and communicate the successes of the cooperative agreement to the general public.
- Meet at minimum on an annual basis with the awardee, review annual progress report for each USG Fiscal Year, and assess, review, and validate progress and accomplishments, and revise annual work plans as necessary.

8. Awardee Responsibilities

The awardee has the primary authority and responsibility for defining objectives and approaches for planning, conducting, analyzing, publishing results and interpreting project outcomes. The awardee will retain custody of and primary rights to any data developed under this award, subject to US Government rights of access consistent with current Department of Health and Human Services (HHS) and Public Health Service (PHS) regulations and policies.

Awardee will be responsible for coordinating activities approved under the award. The awardee will be responsible for developing achievable programming activities. The awardee will also be responsible for tracking that all activities and processes, follow terms and conditions of the grant, and satisfactorily adhere to budget and Monitoring and Evaluation (M&E) reporting plans. Awardee will compile program results from subrecipient (contract and subawards) affiliates into consolidated reports.

The awardee will be responsible for planning and participating collaboratively with ASPR/BARDA under this cooperative agreement. Through participation in monthly conference calls, the awardee will work with ASPR/BARDA staff collaborator(s) and/or designee(s) in order to make progress toward its goal of building sustainable influenza vaccine production capacity worldwide.

The following is a summary of the cooperative agreement's annual program requirements for awardees:

- Submit all required funding components, including project narratives, work plans, milestones, and budgets as outlined in Section IV.
- Perform activities related to support of the ACCVR committee. Activities will include:
 - Conducting the yearly meeting for the Advisory Committee Variola Virus Research (ACVVR) to oversee all research using live variola virus, as well as provide scientific advice on smallpox research, including arranging participant travel and facilities management. The awardee will publish all reports that are produced through this meeting. (ASPR/BARDA)
 - Convene a 15-member committee of experts to provide an up-to-date assessment of the current and imminent technologies for biological synthesis, in relation to tier potential relevance to smallpox eradication, including the public health, ethical, security and other relevant aspects. The awardee will prepare and publish the report arising from this committee. (CDC, HHS)
- Inform BARDA immediately of potential problems arising from “subrecipients” activities that might impinge upon the US government’s reputation as a funding agency in this cooperative agreement.
- Submit required progress reports and program and financial data, including progress toward bridging project-relevant gaps based on the results obtained after implementing and reporting of project activities under the “Monitoring and Evaluation Plan” section of this Funding Opportunity Announcement. In addition, the awardee will also be required to report on accomplishments and the outcomes

of annual preparedness and response activities implemented including strengths, weaknesses and associated corrective actions. Reports must describe the preparedness activities that were conducted with cooperative agreement funds, the purposes for which these funds were spent and the recipients of the funds; describe the extent to which the awardee has met stated goals and objectives; and describe the extent to which funds were expended consistent with the awardee's funding application.

- Collaborate with the internal BARDA evaluation committee.

Final cost to be allocated upon acceptance of the budget submitted with this application.

II. AWARD INFORMATION

Estimated Total Project Cost:	\$315,000 USD (direct and indirect costs)
Estimated Funding Amount:	up to \$315,000 USD subject to availability of funds
Anticipated Number of Awards:	One (1) Award
Project Period Length:	Sept. 30, 2015 through Sept. 29, 2016
Anticipated Start Date:	Sept. 30, 2015
Expected Duration of Support:	12 months
Type of Application Sought:	Cooperative Agreement

ASPR may award all or part of the funds, up to \$USD 315,000, **subject to the availability of funds**. All meetings must be approved prior to issuance of an award. If not approved, funding will not be included for those costs. If final amount of available funds is less than estimated, awardee will be asked to submit a revised work plan and budget to reflect the allowed amount. Funding allocation for activities is dependent on final approved work plan and budget.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

WHO is the only eligible applicant; it is the only organization that is allowed by international agreements to address the issues outlined in this proposal. WHO is the directing and coordinating authority for health within the United Nations system. It is responsible for providing leadership on global health matters, shaping the health

research agenda, setting norms and standards, articulating evidence-based policy options, providing technical support to countries, and monitoring and assessing health trends. In the 21st century, health is a shared responsibility, involving equitable access to essential care and collective defense against transnational threats. States Parties to the U.N. have agreed to international standards on reporting public health incidents of concern under IHR (2005). Additionally, a majority of States Parties have also agreed to specific work-frames for pathogens such as smallpox under the Biological Weapons Convention.

Since May 1999, when the 52nd WHA resolved to postpone the destruction of the Variola virus to allow for essential research (WHA 52.10), WHO has been charged with convening a group of experts to advise on the need for continuing such research, to review proposals for research involving viable Variola virus, to review the progress of such research, and to report to the WHA each year. The need to support the activities described in this project has not changed. In fact, WHO Member States continue to exert pressure for the WHO Secretariat to carry out this work.

The WHO ACVVR was established in 1999 to determine what essential research, if any, must be carried out with live Variola virus. The ACVVR monitored the research progress in order to reach global consensus on the timing for the destruction of existing Variola virus stocks. In 2007, the WHA requested the ACVVR undertake a thorough review of the approved research program with a report presented in 2010. The results were presented at the 64th WHA meeting in May of 2011. The ACVVR continues to serve a critically important function for global public health, and to oversee research requested specifically by the U.S. to complete its national strategic goals. This includes the development of new antiviral agents, safer vaccines, and better diagnostics, thus strengthening our national security.

2. Cost Sharing and Maintenance of Funding

There is no cost sharing or match requirement for this project.

Maintenance of Effort/Funding is not required for this program.

3. Application Screening Criteria

Applications that fail to meet the screening criteria described below will **not** be reviewed and will receive **no** further consideration.

1. Applications may be submitted electronically via GrantSolutions. (email submission is exclusive to this application)
2. The Project Narrative section of the Application must be **double-spaced**, on 8 ½" x 11" plain white paper with **1" margins** on both sides, and a **font size of not less than 11**.

The Project Narrative must not exceed 20 pages. Hotel costs should be within Government guidelines for per diem rates.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application materials can be obtained from <http://www.grants.gov>.

Contact person regarding this Funding Opportunity Announcement is:

Chuong Huynh
HHS/ASPR/BARDA
Chuong.Huynh@hhs.gov
+1-202-260-2177

2. Required registrations:

Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) Requirements:

Except for those entities exempt from requirements listed at [2 CFR Part 25](#) (individuals), effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV) or receive subawards directly from recipients of those grant funds to:

- Be registered in the CCR prior to submitting an application of plan;
- Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
- Provide its DUNS number in each application or plan it submits to the OPDIV.

An award cannot be made until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the OPDIV:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier subaward recipients (e.g., direct subrecipient) must have a DUNS number at the time the subaward is made.

CCR registration may be made online at <http://www.sam.gov> or by phone at 1-877-252-2700.

Due to the possibility of heavy traffic at the SAM website, applicants are strongly encouraged to register at the CCR well in advance of the application due date. Applicants must assure that the CCR registration is current for the anticipated start date of the award. Applications will not be reviewed if applicant is not registered with CCR or CCR registration is no current.

3. Content and Form of Application Submission

(See section VIII. OTHER INFORMATION -Application Elements)

****Cover Letter****

Cover Letters should be to the following:

Ms. Brenda Cox
Grants Management Officer
Acquisition Management Contracts and Grants
Office of the Assistant Secretary for Preparedness and Response
U.S. Department of Health and Human Services
200 Independence Ave. S.W.
Washington, DC 20201
Telephone: (202) 809-4144, e-mail: asprgrants@hhs.gov

The following document and sections need to be submitted to ASPR in order to be considered for funding:

Application for Federal Assistance – Standard Form SF 424

Budget Information – Standard Form SF 242A

Assurances (Non-Construction Programs) - Standard Form SF 424B – if applicable

****Project Narrative****

The Project Narrative must be double-spaced, on 8 ½" x 11" paper with 1" margins on both sides, and a font size of not less than 11. You may use smaller font sizes to fill in the Standard Forms and Sample Formats. Forms do not need to be double spaced. ASPR will not accept applications with a Project Narrative that exceeds 20 pages

The components of the Project Narrative counted as part of the 20 page limit include:

- Abstract
- Context and Problem Statement
- Goal(s) and Objective(s)
- Proposed Intervention and Activities
- Overview of Monitoring and Evaluation (M&E) Plan
- Work Plan and Timeline of Proposed Activities
- Organizational Capability

Any Other Relevant Annexes that do not count toward the **20** page limit including:

- M&E Grid
- Key Curricula Vitae
- Letters of Commitment
- Budget Narrative
- Other documents, as needed

The Project Narrative is the most important part of the application, since it is the primary basis on which we determine whether or not your project meets the minimum requirements for grants under Section 319L of the PHS Act (42 U.S.C. 247d-7e). The Project Narrative should provide a clear and concise description of your project. ASPR recommends that your project narrative include the following components:

****Abstract****

This section should include a brief (no more than 265 words) description of the proposed project, including: goal(s), objectives, outcomes, and products to be developed. Detailed instructions for completing the abstract are included in Attachment D of this document.

****Problem Statement****

This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address.

****Goal and Objectives****

This section should describe the project's goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. The goal and objectives stated in Section 1 "Funding Opportunity Description" are suggestions and the applicant is free to modify, edit or propose other goal(s) and objectives, but they must similarly align with the ones proposed in this Funding Opportunity Announcement.

****Proposed Intervention and Activities****

This section should provide a clear and concise description of the intervention you are proposing to address the problem described in the "Problem Statement". You should also describe the rationale for using the particular intervention, including factors such as: 1)"lessons learned" for similar projects previously tested in your community; 2)factors in the larger environment that have created the "right conditions" for the intervention (existing social, economic or political factors of which you can take advantage, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, funders, and/or consumer groups.

**** Monitoring and Evaluation Plan****

Applicant should develop a Monitoring and Evaluation Plan. The plan should track the outcomes that project management is promising to deliver. The outcomes are more

detailed than the objectives and the goal(s), and should be measured through the use of objective indicators. The outcomes should address the main causes of the problem the target group faces.

Indicators provide the project team with a quantifiable basis on which to judge the project's success in reaching its objectives. The specification of indicators acts as a check on the viability of the outcomes and project objectives. It forms the basis for a project monitoring system. Once the indicators are defined they should be developed to provide details of quantity, quality and time. An application will be scored on the clarity and nature of the proposed results, not on the number of results/outcomes and indicators cited. Since reports will be submitted on a semi-annual and annual basis, progress on monitoring and evaluation of the cooperative agreement should be submitted at the same time.

Applicant may use Attachment C to list measurable outcomes in the attached Work Plan grid under "Measurable Outcomes" or adapt the document to suit the needs of the applicant. In addition, applicant should discuss outcomes in the narrative along with a description of how the project might benefit the field at large. The resulting grid can be part of the annex, while the description of the monitoring plan should appear in the project narrative.

****Work Plan and Timeline of Proposed Activities****

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all years of the project period. It should include a statement of the project's overall goal(s), anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal(s) and outcome(s). For each major task / action step, the Work Plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the Sample Work Plan format included in Attachment C.

****Organizational Capability****

Each application must include an organizational capability statement that describes 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. It should also include the organization's capability to sustain some or all project activities after Federal financial assistance has ended (to be included in the annex if needed).

This description should cover capabilities of the applicant agency not included in the Project Narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization.

This section should also include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such, e.g. project leadership; monitoring the

project's on-going progress; preparation of reports; and communications with other partners and ASPR. It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives. Curricula vitae for key project personnel should feature in the annexes.

****Any Other Relevant Annexes****

Please attach short curricula vitae for key project staff that will include, but is not limited to, the Senior Editor and the Senior Thematic Advisor (no more than one page). Neither curricula vitae nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

****Letters of Commitment****

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via <http://www.grants.gov>, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may email them to asprgrants@hhs.gov by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

****Budget Narrative/Justification****

The Budget Narrative/Justification should be provided using the format included in the example Attachment B of this Funding Opportunity Announcement. Applicants are encouraged to pay particular attention to Attachment B, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required.

4. Submission Dates and Times

The deadline for the submission of applications under this Funding Opportunity Announcement is September 10, 2015. Applications must be submitted electronically by 11:59 p.m. Eastern Standard Time via GrantSolutions.

5. Intergovernmental Review

This funding opportunity announcement is not subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs."

6. Funding Restrictions

The following activities are not fundable:

- Construction activities
- Basic research
- To carry out any program of distributing sterile needles or syringes for hypodermic injections of any illegal drug
- To advocate or promote gun control
- Salaries may not exceed the rate Executive Level II
- Lobbying activities
- Fund raising
- Cost of Money – even if part of the negotiated rate agreement
- Vehicles
- Salaries for back filling positions

7. Other Submissions Requirements

Complete Applications should be e-mailed to:

Brenda Cox e-mail: Brenda.Cox@hhs.gov

V. APPLICATION REVIEW INFORMATION

1. Criteria –

The application will be reviewed and scored using the following criteria. It is ASPR's practice to fund only those projects that score in the fundable range. All funding decisions are final.

The following scoring system will be used:

Organizational capacity – 20 points,
Approach, Work plan, and Budget Allocation – 40 points,
Project Relevance and Evaluation, and Impact of Project Outcomes – 40 points,

****Organizational Capacity****

- Does the applicant organization clearly identify its capacity for carrying out the proposed project and evaluation? (5 points)
- Do the proposed project director, key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? (5 points)
- Does the proposed project clearly and adequately identify the relevance of the priority areas, as described in this Funding Opportunity Announcement, in relation to current countries' needs? (5 points).
- Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to the applicant's purpose/need? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (5 points)

****Approach****

Does the proposed intervention and activities relate to the goals and objects of the proposed project? (15 points)

****Work Plan ****

Is the project Work Plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the Work Plan include specific objectives, tasks and deliverables that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carry-out the project? (15 points)

****Budget****

i. Is the Budget justified with respect to the adequacy and reasonableness of resources requested? (5 points)

ii. Are Budget line items clearly delineated and consistent with Work Plan objectives? (5 points)

****Project Relevance and Evaluation****

Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcomes? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture “lessons learned” from the previous overall effort that might be of use to others in the field of preparedness, especially those who might be interested in replicating the project? (15 points)

****Project Impact****

i. Are the expected project benefits/results clear, realistic, and consistent with the objectives, purpose of the project, and intended public health impact? Is the anticipated outcome of the proposed project likely to be achieved and will it significantly benefit U.S. healthcare system, and the field of national health security preparedness as a whole? (15 points)

ii. Is there a realistic plan to try to secure resources to develop and publish a thematic issue after Federal planning financial assistance has ended? (10 points)

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

The Notice of Award is the authorizing document from the ASPR authorizing official, the Officer of Grants Management, and the ASPR Office of Budget and Finance. The Notice of Award will be sent electronically upon successful review of the application. The Notice of Award sets forth the amount of funds granted, the terms and conditions of the award, the effective date of the award, the budget period for which initial support will be given, the non-federal share to be provided (if applicable), and the total project period for which support is contemplated.

Each applicant will receive written notification of the outcome of the objective review process, including a summary of the expert committee's assessment of the application's strengths and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance.

2. Administrative and National Policy Requirements

The award is subject to HHS Administrative Requirements, which can be found in 45CFR Part 75 and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement located at <http://www.hhs.gov/grants/grants/grants-policies-regulations/index.html> or http://www.hhs.gov/asfr/ogapa/aboutog/ogpoe/grants_mgmt_policy_sources.html

3. Reporting

Applicants funded under this announcement will be required to electronically submit a semi-annual program progress report and Federal Financial Report (FFR) SF-425. In addition, applicants must submit an end-of-year program progress report and end-of-year Federal Financial Report, both due 90 days after the budget period ends. Awardees will receive instructions for both reports with their Notice of Award. Final performance and financial reports are due 90 days after the end of the project period. For more information see DHHS / ASPR Standard Terms and Conditions.

Progress Reporting: Applicants funded under this announcement will be required to electronically submit a final program progress report. As part of the progress report financial information will be reported both per major category of expense, and by objectives.

Subaward and Executive Compensation Reporting: Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements, should they be selected for funding

Cash Transaction Reporting Recipients must report cash transaction data using the Federal Financial Report (FFR), SF-425. Recipients will utilize the SF-425 lines 10.a through 10.c to report cash transaction data to the Division of Payment Management.

The FFR SF-425 (lines 10.a through 10.c) is due to the Payment Management System 30 days after the end of each calendar quarter. The FFR SF-425 electronic submission and dates for the new quarters will be announced through the Payment Management/SmartLink Payment System's bulletin board. Funds will be frozen if the report is not filed on or before the due date.

Federal Disbursement Reporting: The SF-425 will also be used for reporting of expenditure data to meet ASPR's semi-annual and annual financial reporting requirement. All other lines except 10.a through 10.c should be completed.

Tangible Property Report: Awardees will be required to submit an annual Tangible Property Report (SF 428) at the time the annual SF 425 is submitted to ASPR. Final SF 428 reports are due 90 days after the end of the project period.

Other Reporting Requirements: Throughout the course of the project the awardee may be asked to submit additional reports as needed.

VII. AGENCY CONTACTS

Grants Management Officer:

U.S. Department of Health and Human Services
Office of the Assistant Secretary for Preparedness and Response
Washington, DC 20201
Attn: Brenda Cox
Telephone: +1 (202) 809-4144, e-mail: asprgrants@hhs.gov

Project Officer:

U.S. Department of Health and Human Services
Office of the Assistant Secretary for Preparedness and Response
Washington, DC 20201
Attn: Chuong Huynh
HHS/ASPR/BARDA
Telephone: +1 (202) 260-2177, e-mail: Chuong.Huynh@hhs.gov

VIII. OTHER INFORMATION

1. Application Elements

- a.) SF 424 – Application for Federal Assistance
- b.) SF 424A – Budget Information.
- c.) Separate Budget Narrative/Justification (See Attachments B for a Budget Narrative/Justification Sample Format with Examples and a Sample Template).
- e.) Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. Upon issuing a contract or sub-award copies of their indirect cost agreements must be forwarded to the Division of Grants.
- f.) Vitae for Key Project Personnel.
- g.) Letters of Commitment from Key Partners.

Appendix

**Attachment A:
Instructions for Completing Required Forms
(SF 424, Budget (SF 424A), Budget Narrative/Justification)**

**Attachment B:
Budget Narrative/Justification Format – Sample Format with Examples**

**Attachment C:
Project Work Plan - Sample Template**

**Attachment D:
Instructions for Completing the Summary/Abstract**

**Attachment E:
Grants to Foreign Organizations, International Organizations, and Domestic
Grants with Foreign Components and Subawards to Foreign Organizations**

**Attachment A: Instructions for Completing Required Forms
(SF 424, Budget (SF 424A), Budget Narrative/Justification)**

This section provides step-by-step instructions for completing the four (4) standard federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of federal grant programs, and federal agencies have the discretion to require some or all of the information on these forms. ASPR does not require all the information on these Standard Forms. Accordingly, please use the instructions below to complete these forms in lieu of the standard instructions attached to SF 424 and 424A.

a. Standard Form 424

1. **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.

- Application

2. **Type of Application:** (Required) Select one type of application in accordance with agency instructions.

- New

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a **Federal Entity Identifier:** Leave this field blank

5b. **Federal Award Identifier:** For new applications leave blank..

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information:** Enter the following in accordance with agency instructions:

a. Legal Name (Required): Enter the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website (<http://www.grants.gov>).

b. Employer/Taxpayer Number (EIN/TIN)(Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

c. Organizational DUNS (Required): Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website (<http://www.grants.gov>).

d. Address (Required): Enter the complete address including the county.

e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

f. Name and contact information of person to be contacted on matters involving this application: Enter the name (first and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (required) of the person to contact on matters related to this application.

9. Type of Applicant (Required): Select the applicant organization “type” from the drop down list.

10. Name of Federal Agency (Required): Enter U.S. Assistant Secretary for Preparedness and Response

11. Catalog of Federal Domestic Assistance Number/Title: The CFDA number can be found on page one of the Funding Opportunity Announcement.

12. Funding Opportunity Number/Title (Required): The Funding Opportunity Number and title of the opportunity can be found on page one of the Funding Opportunity Announcement.

13. Competition Identification Number/Title: Leave this field blank.

14. Areas Affected By Project: List the largest political entity affected (cities, counties, state etc).

15. Descriptive Title of Applicant’s Project (Required): Enter a brief descriptive title of the project.

16. Congressional Districts Of (Required): **16a.** Enter the applicant’s Congressional District, and **16b.** Enter all district(s) affected by the program or project. Enter in the following format: 2 characters state abbreviation – 3 characters district number, CA-005 for California 5th district. If all congressional districts in a state are affected, enter “all” for the district number, (e.g. MD-all for all congressional districts in Maryland). If nationwide enter US-all.

17. Proposed Project Start and End Dates (Required): Enter the proposed start date and final end date of the project. Therefore, if you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date. The Grants Office can alter the start and end date at their discretion.

18. Estimated Funding (Required): Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind

contributions should be included on appropriate lines, as applicable. **NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 18 and the Budget Information Sections A, B and C noted below.

19. Is Application Subject to Review by State Under Executive Order 12372 Process? Check appropriate box

20. Is the Applicant Delinquent on any Federal Debt? (Required): This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. Authorized Representative (Required): To be signed and dated by the authorized representative of the applicant organization. Enter the name (first and last name required) title (required), telephone number (required), fax number, and email address (required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

b. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this ASPR program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a one year budget.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total non-federal costs (including third party in-kind contributions and any program income to be used as part of the awardee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 3: Enter the breakdown of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 3 and 4) by object class category.

Separate Budget Narrative/Justification Requirement
Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of \$1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as, sub-contractor or sub-Awardee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

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

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

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

In the Justification: If the total fringe benefit rate exceeds 35% of personnel costs, provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c - **Travel:** Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under the "Other" cost category.

Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

In the Justification: Include the total number of trips, number of travelers, destinations, purpose (attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d - **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all awardees, “equipment” is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more *per unit*. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its sub-awardees.

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

In the Justification: For any grant award that has supply costs in excess of 5% of total direct costs (federal or non-federal), you must provide a detailed breakdown of the supply items (6% of \$100,000 = \$6,000 – breakdown of supplies needed). If the 5% is applied against \$1 million total direct costs (5% x \$1,000,000 = \$50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of \$5,000 or less regardless of total direct costs does not require a detailed budget breakdown (5% x \$100,000 = \$5,000 – no breakdown needed).

Line 6f - **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR’s) mentioned below. Enter the total costs of all contracts, including procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

In the Justification: Provide the following three items – 1) a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at \$100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 74.44 for non-profits and 45 CFR 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g - **Construction:** Leave blank since construction is not an allowable costs for this program.

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 (e.g. for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to *individual* consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (e.g. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then it belongs in this section.

In the Justification: Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the Work Plan or indicate where it is described in the Work Plan. Describe the types of activities for 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 HHS or another federal agency; or (2) the applicant is a state or local government agency.

State governments should enter the amount of indirect costs determined in accordance with HHS requirements. An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the federal share of your direct costs. Any unused portion of the awardee's eligible Indirect Cost amount that are not claimed on the federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

NOTE: If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-awardees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

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

Line 7- **Program Income:** As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) 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(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as Awardee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-federal resources that will be used in carrying out the proposed project, by source (applicant; state; other) and enter the total amount in Column (e). Keep in mind that if the match requirement is not met, federal dollars may be reduced.

Section D - Forecasted Cash Needs - Not applicable.

Section E - Budget Estimate of Federal Funds Needed for Balance of the Project

Line 20: Section E is relevant for multi-year grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F - Other Budget Information

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. Include a copy of your current Indirect Cost Rate Agreement.

Line 23 - Remarks: Provide any other comments deemed necessary.

c. Standard Form 424B - Assurances

This form contains assurances required of applicants under the discretionary funds programs administered by the Assistant Secretary for Preparedness and Response. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

d. Certification Regarding Lobbying

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

Proof of Non-Profit Status

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a state taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the HHS or another Federal

agency. This is optional for applicants that have not included indirect costs in their budgets.

Attachment B: Budget Narrative/Justification – Page 1 – Sample Format

The Budget Summary is used to determine reasonableness and allowability of costs for the project. All of the proposed costs listed, whether supported by federal funds or non-federal match, must be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable federal cost principles, auditable, and incurred during the budget period.

Non-Federal Match:

Matching funds provide support for the purpose and goals of this proposal and enhance the federal budget request. Applicant is required to provide a detailed listing of all match used to meet the match requirement. In the narrative justification sections describe how the funds support the project and enhance the federal budget.

All funding used for match must be documented in the same manner as federal funds. All match funds must follow the same cost principles and regulations that are used for federal funds – to count as match you must be able to use federal funds to purchase the item.

An allowable project cost meets the following criteria:

- Necessary for the performance of the award.
- Allocable to the project.
- In conformance with any limitations or exclusions set forth in the federal cost principles applicable to the organization incurring the cost.
- Consistent with the recipient's regulations, policies, and procedures which are applied uniformly to both Federally-supported and other activities of the organization.
- Accorded consistent treatment as a direct or indirect cost.
- Determined in accordance with generally accepted accounting principles.
- Not included as a cost in any other Federally-supported award.

The following four tests are used in determining the allowability of costs:

- **Reasonableness (including necessity).** A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the federal government and the public at large, as well as to their organization.
- **Allocability.** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable if it is incurred solely to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.
- **Consistency.** Recipients must be consistent in assigning costs to cost objectives. Regulations regarding cost assignment must be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to avoid duplicate charges.

- **Conformance.** Conformance with limitations and exclusions contained in the Terms and Conditions of award, including those in the cost principles, may vary by the type of activity, the type of recipient, and other characteristics of individual awards.

Budget Summary (Only include section for Non-Federal Match if required by the application)

Section A – Personnel: An employee of the applying agency whose work is tied to the application. Proposed salaries must be reasonable. Compensation paid for employees must be reasonable and consistent with that paid for similar work within the applicant’s organization and similar positions in the industry.

Non-Federal Match: Separately list all personnel that will be working on the project and whose time and effort will be used to meet the non-federal match requirement. Personnel used as match must be documented through signed time cards and payroll documents. List the source of the match – e.g. state funds.

Table 1: Personnel

Position	Name	Annual Salary/Rate	Level of Effort	Federal Cost	Match
Project Director	Susan Jones	\$45,000/year	100%	\$45,000	
Project Coordinator	Brad Smith	\$42,000/year	50%	\$21,000	
			TOTAL	\$66,000	

NARRATIVE JUSTIFICATION: Enter a description of the personnel funds requested and how their use will support the purpose and goals of this proposal. Describe the role, responsibilities, and unique qualifications of each position.

B. Fringe Benefits - Fringe benefits may include contributions for items such as social security, employee insurance, and pension plans. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. If fringe benefits are not computed as a percentage of salary (e.g. 25%), list all components of the fringe benefits rate, for example:

Non-Federal Match: List for all personnel shown in table 1 under the match section. Match documentation includes payroll records and pay slips. List the source of the match – e.g. state funds.

Table 2: Fringe Benefits

Component	Rate	Wage	Federal Cost	Match
FICA	7.65%	66,000	\$5,049	
Insurance	5%	66,000	\$3,300	
		TOTAL	\$8,349	

NARRATIVE JUSTIFICATION: Enter a description of the fringe funds requested and how the rate was determined.

C. Travel - Federal funds requested for travel are for staff travel only (travel for consultants is listed in consultant category). Travel for other participants, committee members, etc. should be listed under the cost category “other”. Applicants are to use the lowest available commercial fares for coach or equivalent accommodations. Note that Applicants will be expected to follow federal travel policies found at <http://www.gsa.gov>.

Non-Federal Match: The travel costs must be documented through travel authorizations and paid vouchers. Local travel should be documented by miles traveled. List the source of the match – e.g. state funds.

Table 3: Travel

Purpose of Travel	Location	Item	Rate	Federal Cost	Match
Attend awardee meeting	Washington, DC	Air Fare Per Diem Airport Parking Airport Shuttle Hotel	\$350 X 4 people \$71/day X 4 days X 4 people \$10/day X 4 days \$28/RT X 4 people \$211/night X 3 nights X 4 people Subtotal	\$1,400 \$1,136 \$40 \$112 \$2532 \$4,120	
Local travel	Various	POV	.44/mile X 2,000 miles/year	\$880	
			TOTAL	\$5,000	

NARRATIVE JUSTIFICATION: Explain the purpose for all travel and how costs were determined. List any required travel, funds for local travel that are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

D. Equipment - Permanent equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines "equipment" at a different rate, then follow the applying agency's policy. In the case of vehicles, etc. applicant should justify purchase rather than rental. If equipment is used by several different projects, you may only charge a percentage of the costs for the purchase based on the amount of time, etc. that the equipment will be used for this grant program. Any purchased equipments must be inventoried according to the guidelines in the HHS Grants Policy Statement.

Non-Federal Match: Enter a description of the equipment match provided and how its use will support the purpose and goals of this proposal. Documentation of match should be in inventory and use records. List the source of the match – e.g. state funds.

Table 4: Equipment

Item(s)	Rate	Federal Cost	Match
Computer Work Station	\$5,500 X 2	\$11,000	
Computer	\$6,000 X .5FTE	\$3,000	
	TOTAL	\$ 14,000	

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

E. Supplies - Materials costing less than \$5,000 per unit and often having one-time use, for example – general office supplies, postage, printers, etc.

Non-Federal Match: Please note that items such as computers, desks, and projection equipment may be counted as match only once throughout the life of the project. Documentation includes invoices and donation records. List the source of the match – e.g. state funds.

Table 5: Supplies

Item(s)	Rate	Federal Cost	Match
General Office Supplies	\$50/month X 4 FTE	\$200	
	TOTAL	\$200	

NARRATIVE JUSTIFICATION: Enter a description of the supplies requested and how their purchase will support the purpose and goals of this proposal. Rates for office supplies, etc. may be based on average monthly costs, FTE, etc.

F. Contracts and Consultants - An arrangement to carry out a portion of the programmatic effort by a third-party or for the acquisition of goods or services is allowed under the grant. Such arrangements may be in the form of sub awards (grants) or contracts. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. List each contract, consultant or sub award separately and provide an itemization of the costs. If a contractor is to be determined, provide a best estimate as to costs for the goods or services to be purchased.

The awardee must establish written procurement policies and procedures that are consistently applied. All procurement transactions are required to be conducted in a manner to provide to the maximum extent practical, open and free competition. The awardee should be alert to organizational conflicts of interest as well as to noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.

Method of Selection: This will be sole source, competition, or grant.

Scope of Work: Provide a breakout of the goods and/or services being provided by the contractor. If personnel are being charged then should list name, position, hours and rate/hour. Goods will be listed at number of units and cost/unit. List method to be used for sub-recipient monitoring – site visit, semi-annual reports, etc. Documentation of monitoring should be kept with the contract/award file.

Non-Federal Match: Enter any contracts, etc. that are being used to meet this requirement. When making a contract, a portion may be “donated” to this project by the contracted organizations and should be so noted in the contractual agreement (e.g. media outlets may give one free ad for each purchased). If this arrangement has been reached, it should be noted in the justification section. Documentation includes copies of contractual agreements, payment and donation records.

Table 6: Contract/Sub award

Activity	Name	Method of Selection	Scope of Work	Federal Cost	Match
Public Information	WMTV	Sole source	Paid Ads 12/month X \$250/ad X 6 mo. Paid Ads 12/month X \$250/ad X 6 mo Monitoring: semi-	\$18,000	\$18,000

Activity	Name	Method of Selection	Scope of Work	Federal Cost	Match
			annual report		
Mobil Medical Assets	To Be Determined	Competition	Medical supply inventory (\$1,600) Wheelchair bus conversions(6 X \$37,000) Monitoring: semi-annual report	\$223,600	
			TOTAL	\$ 241,600	\$18,000

NARRATIVE JUSTIFICATION: Provide information as to how the contracted services or goods will enhance the project goals and objectives. Provide sole source justification.

Table 7: Consultant

Organization	Name	Number of Days	Rates	Federal Cost	Match
Trepid	Jon Smith	20	\$150/day Travel 4 trips X 1,204 (travel @ \$475; lodging @ \$175/night X 3; Per Diem @ \$51 x4) = \$4,816	\$ 7,816	
			TOTAL	\$ 7,816	

NARRATIVE JUSTIFICATION: Provide information as to how the consultant services or goods will enhance the project goals and objectives.

G. Other - Expenses not covered in any of the previous budget categories. If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arm's length arrangement, provide cost of ownership/use allowance calculations.

Non-Federal Match: Break down costs into cost/unit (cost/square foot) and explain the use of each item requested. Documentation includes donation, usage, transaction and/or payment records. List the source of match funds – e.g. state funds.

Table 8: Other

Item	Rate	Federal Cost	Match
Postage	\$65/mo. X 4 FTE	\$3,120	
	TOTAL	\$3,120	

NARRATIVE JUSTIFICATION: Explain the need for each item and how it will support the purpose and goals of this proposal. Break down costs into cost/unit (cost/square foot or cost/month or cost/FTE).

H. Indirect Costs:

Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (e.g., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. If indirect costs are claimed, applicant is to submit a copy of a current negotiated indirect cost rate agreement. Indirect costs are only charged on the items cited in the indirect cost rate agreement (e.g. personnel and fringe, subawards over \$25,000).

Non-Federal Match: Unclaimed indirect costs for costs incurred by using the federal funds may be used to meet the match requirement. Indirect costs may be charged on the appropriate costs listed in the match categories that are provided by the applicant agency. Documentation should be included in the accounting records of the applicant agency.

Table 9: Indirect costs

Total Direct Cost applied to Indirect Cost	Indirect Cost Rate	Federal Cost	Match
\$450,000	22%	\$99,000	
	TOTAL	\$99,000	

Attachment C: Project Work Plan, Page 1 – Sample Template

Goal:
Measurable Outcome(s):

* Time Frame (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														

Add as many pages as needed

Attachment D: Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, please limit the length to no more than 265 words on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

Goal(s) – broad, overall purpose, usually in a mission statement, e.g. what you want to do, where you want to be

Objective(s) – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the “how”). Specific performances that will result in the attainment of a goal.

Outcomes – measurable results of a project. The positive benefits or negative changes, or measurable characteristics that occur as a result of an organization's or program's activities. (outcomes are the end-point).

Products – materials, deliverables.

- A model abstract/summary is provided below:

The awardee, Okoboji University, supports this three year Dementia Disease demonstration (DD) project in collaboration with the local Alzheimer's Association and related Dementias groups. The **goal** of the project is to provide comprehensive, coordinated care to individuals with memory concerns and to their caregivers. The approach is to expand the services and to integrate the bio-psycho-social aspects of care. The **objectives** are: 1) to provide dementia specific care, e.g., care management fully integrated into the services provided; 2) to train staff, students and volunteers; 3) to establish a system infrastructure to support services to individuals with early stage dementia and to their caregivers; 4) to develop linkages with community agencies; 5) to expand the assessment and intervention services; 6) to evaluate the impact of the added services; 7) to disseminate project information. The expected **outcomes** of this project are: 1) patients will maintain as high a level of mental function and physical functions (thru Yoga) as possible; 2) caregivers will increase ability to cope with changes; and 3) pre and post – project patient evaluation will reflect positive results from expanded and integrated services. The **products** from this project are: 1) a final report, including evaluation results; 2) a website; articles for publication; 3) data on driver assessment and 4) in-home cognitive retraining; abstracts for national conferences.

Attachment E: Grants to Foreign Organizations, International Organizations, and Domestic Grants with Foreign Components and Subawards to Foreign Organizations

Most of the policies contained in this HHS GPS apply to grants made to foreign organizations and international organizations (hereafter “foreign grants”), including the requirements of 45 CFR part 74 or 45 CFR part 92, as applicable to the type of foreign organization, and the cost principles incorporated by reference in those regulations. If an applicant/recipient would be unable to comply with these requirements, the authorized organizational representative should contact the GMO. Specific exceptions and modifications of the HHS GPS requirements for foreign grants, and highlights of other policies, are set forth in this section. This section also includes policies that apply to domestic grants with a foreign component.

Public Policy Requirements

All public policy requirements included in “Public Policy Requirements” in Part I apply to foreign grants, with the following exceptions:

Civil rights. None of the civil rights requirements specified in “Public Policy Requirements” apply to foreign grants.

Debarment and suspension. Applicants and recipients that are foreign governments or governmental entities, public international organizations, or foreign-government-owned or -controlled (in whole or in part) entities are not subject to the debarment or suspension certification requirement or to debarment or suspension under 45 CFR part 76. All other foreign organizations and international organizations are subject to these requirements.

Drug-free workplace. Foreign applicants and recipients may be exempted from the drug-free workplace requirements of 45 CFR part 83 based on a documented finding by the OPDIV that application of those requirements is inconsistent with U.S. international obligations or the laws and regulations of a foreign government.

Environmental requirements. Receipt of a grant does not make a foreign applicant/recipient subject to environmental requirements that would not otherwise apply to it.

Funding and Payment

The application budget, requests for funds, and financial reports must be stated in U.S. dollars using the currency rate in effect at the time of submission. Once an award is made, ASPR may adjust for currency exchange fluctuations as part of the non-competing continuation award process. This may result in an upward or downward adjustment from the total approved budget for that budget period based on the net change from the prior year’s award.

Payment will be made through the Division of Payment Management’s Payment Management System.