

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Office of the Secretary

A. AGENCY: The Office of the Assistant Secretary for Planning and Evaluation (ASPE), HHS.

B. ACTION: Announcement of the availability of funds and request for applications for a grant(s) to establish a Poverty Research Center Program.

C. **Announcement Type.** Initial Announcement

D. **Funding Opportunity Number.** The funding opportunity number for this RFA is **HS-11-023**

E. **Catalog of Federal Domestic Assistance (CFDA) Number.** The CFDA number is 93.239

F. **Dates.** The application deadline is July 20, 2011.

Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 pm eastern daylight savings time on the application deadline date. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Hard copy submissions must be legibly postmarked on or before the deadline and received in time for review. Hand delivered submissions must be made between the hours of 8:00am and 5:00pm eastern daylight savings time.

G. Additional Overview Content Information

1. Available Funds. This RFA announces the availability of approximately \$2.35 million in FY2011 funds for the Poverty Center Program.

2. Maximum Award Amount. The maximum amount of each grant award is \$800,000. It is anticipated that up to 3 grant awards will be made.

3. Eligibility. Eligible applicants for the Poverty Research Center program are restricted to colleges, universities and other post-secondary degree granting entities.

4. Matching Requirement. Applications must meet a threshold requirement of match of at least 10% of the total direct and indirect budget amount.

5. The application package and instructions may be obtained from <http://www.grants.gov> or from www.samhsa.gov

Official Notification of any technical corrections will be posted to Grants.gov.

Notice of Intent to Apply: June 20, 2011 (not required)

Amended June17, 2011 – clarified 100 page limit; deleted GRPA reporting requirements, added reference to Section 508 of the amended Rehabilitation Act.

SUMMARY: The U.S. continues to experience changes relating to the economy, demographics, and the social and behavioral functioning of individuals and families and the well-being of children. The manner by which government and others react to or precipitates these changes also is in a state of evolution. A key way that these issues are examined by HHS is by studying the causes and consequences of poverty and inequality as well as policy and program responses to ameliorate poverty and inequality and their impacts on Americans. In order to further these efforts and inform the public, HHS is soliciting applications from college/university-based institutions for a grants program to assist qualified institutions to pursue a course of interdisciplinary study, mentoring of emerging poverty scholars and dissemination to federal, state and local policy makers as well as the broader research community. The Assistant Secretary for Planning and Evaluation (ASPE) seeks applicants who demonstrate a national perspective combined with either a regional and/or state research perspective. ASPE expects to fund up to three (3) Poverty Research Centers for a period of five (5) years. The first year of funding for each Poverty Research Center will be up to \$800,000 (combined direct and indirect funding). Subject to the availability of future funds we expect to fund the second year through 5th year at the same level for a total federal funding of up to \$4.0 million per center over the five year period.

ASPE plans to fund up to three (3) Poverty Research Centers. The Poverty Research Center grants are for qualified institutions to provide a focused national and regional and/or state agenda expanding our understanding of the causes, consequences and effects of inequality and poverty and policies and programs to remediate and alleviate poverty, inequality and their affects. It is anticipated that investigators supported under the Poverty Research Center will benefit from the opportunity to conduct independent research; that the grantee institution will benefit from participation in the diverse extramural programs of HHS and other federal agencies; and that students will benefit from exposure to and participation in research and be encouraged to pursue graduate studies and careers in the social and behavioral sciences with a focus on poverty and inequality.

CLOSING DATE: The closing date for submitting applications under this announcement is July 20, 2011. Please email Dr. Donald T. Oellerich at don.oellerich@hhs.gov by Tuesday June 20, 2011 to inform the government of your intent to submit an application. Include the name of your organization. Providing notice of intent to submit is not a requirement for submitting an application. However, a notice of intent to submit will help the federal government in the planning for the review process and help to ensure the timely award of grants

ADDRESSES: Electronic applications must be submitted through www.grants.gov. The U.S. Department of Health and Human Services Substance Abuse and Mental Health Services Administration Division of Grants Management will be servicing these grants for ASPE. Mailed applications should be submitted to Dr. Don Oellerich, Deputy Chief Economist and Senior Advisor, U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation, Hubert H. Humphrey Building, 200 Independence Avenue, SW, Room 405F, Washington, DC 20201. Administrative questions will be accepted and responded to up to

fifteen (15) working days prior to the closing date of receipt of applications. You will receive email confirmation to notify you that your application was received within 14 days of the closing date. If you do not receive confirmation within 14 days of the closing date, please contact Dr. Oellerich at the address provided above or e-mail don.oellerich@hhs.gov.

The posted notice through www.grants.gov is the only official program announcement. Any corrections to this announcement will be published on the www.grants.gov website, and on the ASPE website at <http://aspe.hhs.gov/info/funding.shtml>. The applicant bears sole responsibility to assure that the copy downloaded and/or printed from any other source is up-to-date, accurate and complete.

FOR FURTHER INFORMATION CONTACT: Administrative questions should be directed to Eileen Bermudez, Grants Management Specialist, U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Division of Grants Management, phone: (240) 276-1412 Fax: (240) 276-1430 E-Mail: eileen.bermudez@samhsa.hhs.gov. Requests for forms and questions (administrative and technical) will be accepted and responded to up to fifteen (15) working days prior to closing date of receipt of Applications. Technical questions should be directed to Don Oellerich, DHHS, Office of Human Services Policy, Telephone: (202) 690-8410. Questions also may be faxed to (202) 690- 6562. Written technical questions should be addressed to Dr. Oellerich at the Department of Health and Human Services, ASPE/HSP, 200 Independence Avenue, SW, Room 405F, Hubert H. Humphrey Building, Washington, DC 20201. (**Application submissions may not be faxed or e-mailed.**)

SUPPLEMENTARY INFORMATION: This program announcement consists of four parts: Part I: Background--Legislative authority, Eligible Applicants, Project History and Purpose, Available Funds, Matching Requirements, and Project and Budget Period; Part II: Awardee Goals and Responsibilities for the Poverty Research Center, Rights to Data; Part III: The Application--General Information, Application Development, Application Submission, Disposition of Applications, Catalog of Federal Domestic Assistance (CFDA) Number, and Components of a Complete Application; and Part IV: The Review Process-- Initial Screening, Competitive Review, Evaluation Criteria, Intergovernmental Review, Administrative and National Policy Requirements.

Part I. Background

A. Legislative Authority

This grant program is authorized by Section 1110 of the Social Security Act (42 U.S.C. 1310) and awards will be made from funds appropriated under Public Law No. 75-11-0120.

B. Eligible Applicants

Eligible applicants for the Poverty Research Center program are restricted to colleges, universities and other post-secondary degree granting entities. (For-profit entities are advised that no grant funds may be paid as profit to any recipient of a grant or subgrant. Profit is any amount in excess of allowable direct and indirect costs of the grantee.)

C. Project History and Purpose

HHS has had a long history of supporting research and evaluation of important and emerging social policy issues associated with the nature, causes, correlates, and effects of income dynamics, poverty, inequality, individual and family functioning and child well-being. These awards replace the current cooperative agreements with the University of Michigan's National Poverty Center and the three Area Research Centers located at the Universities of Kentucky, Washington and Wisconsin. The current national and area poverty research centers conduct a broad program of basic and applied research and mentoring of emerging scholars to describe and analyze national, regional and state environments (e.g., economics, demographics) and policies affecting low income people, particularly those families with children who are poor or at risk of being poor.

Central to the mission of the poverty research center program is capacity building - supporting faculty research and faculty training; supporting and mentoring students in poverty and low-income policy related careers and enhancing campus-wide awareness of issues related to poverty and inequality. Work of the current poverty centers includes: 1) expanding the knowledge of the causes and consequences of poverty and inequality as well as responses to ameliorate poverty and its impacts on Americans, 2) providing a core of multi-disciplinary researchers, as well as a broader network of scholars who focus their research on poverty, inequality and the poor, 3) developing and training future social science researchers whose work focuses on poverty and the poor, 4) continuation of the work on the improvement of methods and data to permit a fuller understanding of the causes and consequences of poverty and inequality and the social policies and programs meant to alleviate it, and 5) maintaining a network for the dissemination of findings to the policy and research communities through newsletters, working papers, special reports and briefings. Information on the current poverty centers is available on their respective websites: Michigan - <http://www.npc.umich.edu/>, Wisconsin - www.ssc.wisc.edu/irp/, Washington - <http://wcpc.washington.edu/>, and Kentucky - <http://www.ukcpr.org/>. In addition, ASPE supports a marriage and family research center at Bowling Green State University - <http://ncfmr.bgsu.edu/>. We expect the center(s) funded under this announcement to provide leadership through innovative basic and applied research, policy evaluation, and mentoring to increase the number and diversity of poverty scholars and heighten awareness of poverty-related issues for all students by bringing relevant content into the classroom. The winning applicants will be expected to carry out a program that continues a strong scholarly tradition and concern for poverty and inequality. There are no specific projects that must be continued from the current Centers under this award.

D. Available Funds

The Assistant Secretary has available a total of \$2,350,000 for the first year of award for the poverty research center(s). ASPE anticipates providing up to three (3) awards. The Assistant Secretary for Planning and Evaluation may make no awards, multiple awards or to make lesser or greater award(s) under this announcement.

E. Matching Requirements

The awardee must provide at least ten (10) percent of the total approved cost of the project from non-federal sources (e.g., host institution, foundations, state government) for the first year. The total approved cost of the project is the sum of the federal share (direct and indirect) and the non-federal share (direct and indirect). The non-federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their matching requirements through cash contributions. For example, an awardee with a project with a total (federal and non-federal) budget (both direct and indirect costs) of \$825,000 may request up to **\$742,500** in federal funds. Matching requirements for the second through fifth year of the award remain a minimum of ten (10) percent of the total approved cost of the project. Matching requirements cannot be met with funds from other federally-funded programs. If a proposed project activity has approved funding support from other funding sources, the amount, duration, purpose, and source of the funds should be indicated in materials submitted under this announcement. If completion of the proposed project activity is contingent upon approval of funding from other sources, the relationship between the funds being sought elsewhere and from ASPE should be discussed in the budget information submitted as a part of the budget narrative. In both cases, the contribution that ASPE funds will make to the Center and the corresponding match should be clearly presented.

F. Project and Budget Period

ASPE expects to fund the Poverty Research Center(s) for a period of five (5) years. The first year of ASPE federal funding for the Poverty Research Center will be up to \$800,000 (combined direct and indirect funding). Subject to the availability of future funds we expect to fund a second year through fifth year at the \$800,000 level.

Pre Award costs are not allowable unless the grantee requests and receives prior approval from the Grants Management Officer, SAMHSA.

Applications are to include separate budget estimates for each of the five years (see sample budget and SF424A appended to the announcement). Legislative support for continued funding of the Centers during the 5 year grant period cannot be guaranteed and future year funding is subject to future appropriations and approval of the Assistant Secretary for Planning and Evaluation. ASPE expects, however, that the Center(s) will be supported during future fiscal years of the award period at an annual level of effort consistent with the announced level. The awards pursuant to this announcement will be made on or about September 30, 2011.

Part II--Responsibilities of the Awardee in the Establishment and Operation of a Poverty Research Center

A. Awardee Responsibilities for the Poverty Research Center

The purpose of the Poverty Research Center is to support inter-disciplinary research leading to an understanding and reduction of poverty, income inequality and its correlates. Central to the mission of the Poverty Research Center is capacity building - supporting faculty research and faculty training; supporting and mentoring students in poverty and low-income policy related careers and enhancing campus-wide awareness of issues related to poverty. The Poverty Research Center is expected to create an environment conducive to inter-disciplinary collaborations among social and behavioral scientists and affected communities with the goal of improving our knowledge of the causes and consequences of poverty and inequality as well as responses to ameliorate poverty and its impacts on the well-being of individuals, families and children. The successful applicant shall develop and conduct a program which appropriately balances core infrastructure, research, mentoring emerging scholars, and dissemination activities directed to understanding the economic security and well-being of individuals, families and children.

The awardees will have the primary and lead responsibility to define objectives and approaches, and to plan research, conduct studies, analyze data, and publish results, interpretations, and conclusions of its work. The awardees will be permitted to undertake responsibilities as required by other sponsors as long as they do not interfere or contradict the purposes of the agreement with ASPE. Occasionally, Center staff will be expected to comment on research plans, provide critical commentary on research products, perform statistical policy analyses, and participate in other quick-response activities to support ASPE's research, evaluation, and policy analysis functions. (Without compromising academic freedom, Center staff will be expected to comply with special requests when the Administration requires confidentiality.) HHS will not interfere with nor infringe upon the academic freedom associated with the university setting.

To assure the quality of its research, dissemination, and mentoring program, and to assure a careful examination of the output of the Center within the academic community, the Center must establish and maintain a formal tie with a college/university, including links with all appropriate departments within that university. The Center must have a major presence at a single site (university or city); however, innovative arrangements among colleges/universities and with individual scholars at other colleges/universities also may be proposed.

As part of the goals and responsibilities each awardee will perform the following specific tasks:

1. Research Program

The Poverty Research Center will be expected to plan, initiate and maintain a research program of high caliber that blends national and regional and/or state issues. It may include small-scale, new or ongoing social, behavioral, policy- related research projects, including pilot research projects and feasibility studies; development, testing, and refinement of research techniques; secondary analysis of available data sets; or similar research projects.

It must meet the tests of social science rigor and objectivity. The program will strive for respect from the academic and policy communities (over a broad range of the political spectrum) for its scientific quality, fairness, and policy relevance. This program should include an appropriately balanced agenda of basic and applied, quantitative and qualitative field work, and primary and secondary analyses. The research program should include supporting the work of members of the Center staff and other affiliated researchers. In addition, it should provide intellectual leadership in the national research community by establishing links with a broad range of other scholars, through visiting and postdoctoral appointments, research assistantships, and an extramural program of nonresident grants. While graduates of the poverty center institutions can be found in many colleges and universities around the country and many maintain an affiliation with their Center, effort needs to be made to recruit and support outside poverty researchers from institutions that do not have the capacity to maintain a program of poverty research. It is important that applicants demonstrate clear plans to reach out to researchers at universities that traditionally have not had the capacity to foster a program of poverty research and the training of poverty researchers. In addition, the awardee must commit to working cooperatively with the other ASPE-funded Research Centers to avoid unnecessary duplication and to maximize the value of the overall poverty center program.

The research program should include multi-disciplinary and multi-method approaches to increasing the understanding of the issues beyond what is possible from analysis within the framework of a single discipline or method. At a minimum, the proposed staff should possess competency in quantitative and qualitative methodologies, economics, sociology, public policy/administration, and other related social and behavioral disciplines. It also is appropriate, for example, to engage in activities to make advances in research techniques, where they are needed for or related to primary objectives of the Center. Planning and execution of the research program shall always consider the policy implications of research findings in a non-partisan manner. The Center should link research to public and private efforts to improve the lives of low-income individuals and families. The research and its dissemination shall be of value to all levels of policy making—federal, state, and local government—as well as the general research community. A national advisory committee (discussed below) shall periodically review the research agenda to assure its policy relevance, utility, and scope.

2. Mentoring Young Scholars

The Poverty Research Center is expected to develop and expand a diverse corps of emerging scholars/researchers who focus career goals on policy, research and programs focused on poverty and low-income populations. The Center will be expected to financially support the work of

graduate research assistants, PhD candidates, postdoctoral scholars, and other research scholars, and to make efforts to reach out to those emerging scholars affiliated with institutions that traditionally have not had the capacity to mentor students as poverty researchers. The Poverty Research Center will be expected to develop an awareness and interest in students of the opportunities in poverty research through such activities as research internships, seminars and related experiences. Applicants should demonstrate how students will benefit from exposure to and participation in the ongoing research of the Poverty Research Center faculty and staff and be encouraged to pursue graduate studies and careers in the social and behavioral sciences with a focus on poverty-related studies. Applicants should demonstrate specific plans and goals to recruit support and retain a diverse corps of students and other emerging scholars. Applicants are encouraged to use innovative approaches to encourage a diverse group of undergraduate students to consider careers in poverty related research or program. For example, develop and implement a summer research experience for undergraduates to expand student participation in poverty related research. The experience should seek to attract a diversified pool of talented students into careers focused on inequality and poverty.

3. Dissemination

Making knowledge and information available to interested parties is to be another integral feature of the Poverty Research Center's responsibilities. The Center will be expected to develop and maintain a dissemination system. Applicants are encouraged to propose use of innovative methods of disseminating data and information. Applications should show sensitivity to the different dissemination strategies which may be appropriate for different audiences--such as policy makers, practitioners, and academics.

4. National Advisory Committee

Each awardee will nominate 3-5 members to serve on a single national advisory committee. The committee will be appointed by the Assistant Secretary. The role of the committee is to provide assistance to the Poverty Research Centers, formulating the research agenda and advice on carrying it out. Efforts will be made in selecting this committee to assure a broad range of academic disciplines and political viewpoints. The committee will be composed of approximately eight to ten nationally recognized scholars and practitioners. (For a list of the current Advisory Committee members for the current Poverty Center and the three Area Poverty Research Centers see their respective websites: Michigan - <http://www.npc.umich.edu/>, Wisconsin - www.ssc.wisc.edu/irp/, Washington - <http://wcpc.washington.edu/>, and Kentucky - <http://www.ukcpr.org/>.) This committee will meet once a year in Washington, DC.

B. Rights to Data

The awardee will retain custody of and have primary rights to any data developed under this award, subject to government rights to access consistent with current HHS regulations. The awardee should make reasonable efforts, however, to provide other researchers appropriate and

speedy access to research data from this project and establish public use files of research data developed under this award.

Part III. The Application

A. General Information

This part contains information on the preparation of an application for submission under this announcement and the forms necessary for submission. Potential applicants should read this part carefully in conjunction with the information provided in Part II. In general, ASPE seeks organizations which can demonstrate the ability to provide quality research, training of emerging scholars, and working with federal, state and local governments. Applicants for funding should reflect, in the program narrative section of the application, how they will be able to fulfill the responsibilities and requirements described in the announcement. Applications should specify in detail how administrative arrangements will be made to minimize start-up and transition delays. Applications which do not address all three major tasks discussed in Awardee Responsibilities in Part II (research program, mentoring emerging scholars, dissemination) will not be considered for award. It is expected that the applicant will have additional funding and arrangements with other organizations and institutions, including the host institution(s). The applicant should make all current and anticipated related funding arrangements explicit in the application.

In order to be considered for an award under this funding opportunity announcement, an application must be submitted on the forms supplied and in the manner prescribed by ASPE and its grants management office, SAMHSA. Application materials including forms and instructions are available for download through www.grants.gov or www.samhsa.gov. For a listing of required forms see Part III Section F. Inquiries may be directed to Eileen Bermudez, Grants Management Specialist, U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Division of Grants Management, phone: (240) 276-1412 Fax: (240) 276-1430 E-Mail: eileen.bermudez@samhsa.hhs.gov. Application packages submitted by mail or hand delivered must include an original and two copies of the complete application. All pages of the narrative must be sequentially numbered and unbound.

Applications must be submitted/received in the following format:

1. 12 point font size
2. Double line spacing (except for appendices)
3. 1 inch top, bottom, left, and right margins
4. Page limit of 100 pages for the narrative section (**Section 7 - a. through e.** - excluding appendices)

Applications that are not received in the format described above and/or exceeding the page limit will not be reviewed. Applicants are requested to be concise. Applicants are encouraged not to attach or include bound reports or other documents.

B. Application Development

The Poverty Research Center will provide a leadership role in furthering our understanding of the causes and consequences of inequality and poverty and the policy and program interventions to ameliorate inequality and poverty and its impacts on individuals, families and children. The poverty center will provide the organizational infrastructure to provide leadership in shaping a national and regional and/or state agenda for poverty-related research and provide the necessary supports for basic and applied research, reaching out and supporting the broader research community, mentoring emerging scholars, dissemination of findings and securing additional financial support. The applicant should provide a five-year plan for accomplishing this agenda. The plan should build upon and move forward from the accumulated knowledge of the past 40 years of poverty-related research as well as past and anticipated future social, demographic, economic and policy trends. The plan should set out a concrete plan for addressing priorities and/or areas of exploration that the applicant may propose. The scope of work that is reviewed and approved by the outside review committee will be met by the grantee and flexibility in the grantee's approach for accomplishing these tasks will require prior approval only if additional tasks exceed what was originally approved. If the goals and objectives do vary a “change of scope” will require prior grants management approval.

The application shall address the following:

(1) Analysis of Key Trends and Past Research

The applicant shall propose priority areas which will form the basis of the center’s strategic five year research plan. The application shall present a brief analysis of the key trends (e.g., social, demographic, economic) and past research related to the Center’s proposed priority area(s) which provides a basis for the proposed Center’s plan to implement a course of study, activities and capacity building. The analysis should examine the nature, causes, and correlates of one or more of the trends as they relate to the Center’s priority area(s). The analysis should demonstrate the applicant's grasp of the policy and research significance of recent and future social, economic and demographic trends as well as the past research.

(2) Research Agenda and Activities

A prospectus for a five-year research agenda, outlining the major research themes to be investigated over the next five years should be included. In particular, the prospectus will describe the activities planned for each of the research priority areas identified by the applicant. The prospectus should discuss the kind of research activities that are needed to anticipate future policy debates on important social issues—inequality, poverty, and family and child well-being, in particular-- and the role of the proposed Research Center in carrying out those activities. The prospectus should clearly build upon the foundation of the past 40 years of poverty research and anticipated trends and policy developments. It may, of course, also discuss research areas and issues that were not mentioned in that analysis if the author or authors of the application feel there have been gaps in past research, or that new factors have begun to affect or soon will begin

to affect national social policy. The prospectus should include descriptions of individual research activities that will be expected in the Center's first year of operation. It also should be specific about long-term research themes and projects. The lines of research described in the prospectus should be concrete enough that project descriptions in subsequent research plan amendments can be viewed as articulating a research theme discussed in the prospectus. An application that simply contains an ad hoc categorization of an unstructured set of research projects or activities-- as opposed to a set of projects which strike a coherent theme--will be judged unfavorably. Note: Once a successful applicant has been selected and the Advisory Committee appointed, they and ASPE will review the research agenda and assist in determining future research priorities. The Center will submit to ASPE a revised research plan that summarizes the deliberations and priorities. The research plan will be periodically reviewed and revised as necessary. The application should discuss a proposed research planning process, including involvement of the national advisory committee, coordination with other centers and other advisors.

The application must also include a detailed dissemination plan that describes the process of disseminating analyses, findings, seminars and related works and activities to interested parties through various media including newsletters, working papers, special reports, briefings, conference, workshops and creative use of web based technologies and emerging technologies. Applicants are encouraged, where possible, to comply with the standards for electronic media (Section 508 of the amended Rehabilitation Act (“Section 508”)) to eliminate barriers that might interfere with the ability of individuals with disabilities to fully access Web-delivered information and fully utilize Web-based tools and services. Section 508 requirements apply to Web sites, including all forms of information and posted content, as well as any associated applications including Web or media.

(3) Staff and Organizational Plan

The application must include a staffing and organizational proposal for the Poverty Research Center, including an analysis of the types of background needed among staff members, the Poverty Research Center's organizational structure, and linkages with the host university and other organizations, including how the center will work with other ASPE sponsored research centers. It is in this third section that the application should specify how it will assure a genuinely interdisciplinary approach to research, and where appropriate, the necessary links to university/college departments or units, other organizations and scholars engaged in research, and government policy making. The applicant shall identify the Director(s) (or principal investigator(s)) and key senior research staff. Full resumes or curriculum vitae of proposed staff members shall be included as a separate appendix to the application. The time commitment to the Poverty Research Center and other existing commitments for each proposed staff member shall be clearly indicated in chart form. The kinds of administrative and tenure arrangements, if any, the Poverty Research Center proposes to make should also be discussed in this section. In addition, the author(s) of the application and the role which he or she (they) will play in the proposed Poverty Research Center must be specified.

If the applicant envisions an arrangement among two or more colleges, universities or institutions, this section will describe the specifics about the relationships, including leadership, management, and administration. The applicant should pay particular attention to discussing how a focal point for research, teaching, and scholarship will be maintained given the arrangement proposed.

The applicant must describe what steps will be taken to develop or expand the Poverty Research Center's presence on campus and in the broader community. The application also should discuss the role, selection procedure, and expected contribution of the external advisory committee.

(4) Training and Mentoring Emerging Scholars

The proposal should present a training and mentoring plan for emerging scholars, describing how students will benefit from exposure to and participation in the ongoing research and other activities of the Poverty Research Center faculty and staff and how students will be encouraged to pursue graduate studies in the social and behavioral sciences with a focus on poverty and inequality related studies. This section shall provide the details of any program to reach undergraduates to expand student participation in poverty related research and poverty related careers. The program shall demonstrate a plan to attract a diversified pool of talented students into careers focused on inequality and poverty.

This section shall discuss any financial arrangements for supporting undergraduate and graduate students, research assistants, post-docs, affiliates, resident scholars, etc. The discussion should include the expected number and types of emerging scholars to be supported, the level of support anticipated, and methods to ensure diversity and expand the diversity of poverty scholars. This section shall describe how investigators will have contact with students, emerging scholars and other institutions.

(5) Budget Narrative

The application's budget summary narrative must link the core management functions, research, mentoring, and dissemination program to the Poverty Research Center funding level. This section should discuss how the first-year budget supports proposed research, training, and dissemination activities and should link the first-year funding to a five-year plan. The discussion should include the appropriateness of the level and distribution of funds to the successful completion of the research, training, and dissemination plans. The availability, potential availability or prospects for other funds (from the host university, other universities, foundations, states, other federal agencies, etc.) and the uses to which they would be put, should be documented in this section. Applications which show funding, or well thought out plans to secure funding, from other sources that supplement funds from this grant will be given higher marks than if they have no additional financial support beyond the minimum required match. (SEE SAMPLE BUDGET appended to the announcement).

C. Application Submission

D-U-N-S Requirement

All applicants must have a D&B Data Universal Numbering System (D-U-N-S) number. On June 27, 2003, the Office of Management and Budget (OMB) published in the *Federal Register* a new Federal policy applicable to all Federal grant applicants. The policy requires Federal grant applicants to provide a D-U-N-S number when applying for Federal grants or cooperative agreements on or after October 1, 2003. The D-U-N-S number is required whether an applicant is submitting a paper application or using the government-wide electronic portal, www.grants.gov. A D-U-N-S number is required for every applicant and sub-applicant for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement, and block grant programs, submitted on or after October 1, 2003.

Please ensure that your organization has a D-U-N-S number. You may acquire a D-U-N-S number at no cost by calling the dedicated toll-free D-U-N-S number request line at 1-866-705-5711 or you may request a number on-line at <http://www.dnb.com>.

You may submit your application to us in either electronic format or hard copy (paper). Emailed or faxed applications will NOT be accepted. To submit an application electronically, please use the <http://www.grants.gov> website.

1. ELECTRONIC SUBMISSION

a. Electronic submission is voluntary, but strongly encouraged. You may access the electronic application for this program at <http://www.Grants.gov>. There you can search for the downloadable application package by utilizing the Grants.gov FIND function.

We strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov. We encourage applicants that submit electronically to submit well before the closing date and time so that if difficulties are encountered an applicant can still submit a hard copy via express mail or other means. (NO E-MAIL OR FAX APPLICATIONS WILL BE ACCEPTED.)

b. Electronic applications will be accepted until 11:59 PM Eastern Daylight Savings Time of the closing date - electronic applications received after this time will be classified as late.

c. Deadline. The closing (deadline) date for submission of applications is July 20, 2011.

If you use Grants.gov, you will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site. ASPE will not accept grant applications via facsimile or email.

IMPORTANT NOTE: Before you submit an electronic application, you must complete the organization registration process as well as obtain and register "electronic signature credentials" for the Authorized Organization Representative (AOR). Since this process may take more than five business days, it is important to start this process early, well in advance of the application deadline. **Be sure to complete all Grants.gov registration processes listed on the Organization Registration Checklist, which can be found at http://www.acf.hhs.gov/grants/registration_checklist.html.**

Please note the following if you plan to submit your application electronically via Grants.gov:

To use Grants.gov, you, as the applicant, must have a D-U-N-S number and register in the Central Contractor Registry (CCR). You should allow a minimum of five days to complete the CCR registration. **REMINDER: CCR registration expires each year and thus must be updated annually. You cannot upload an application to Grants.gov without having a current CCR registration AND electronic signature credentials for the AOR.** Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>

The electronic application is submitted by the AOR. To submit electronically, the AOR must obtain and register electronic signature credentials approved by the organization's E-Business Point of Contact who maintains the organization's CCR registration.

You may submit all documents electronically, including all information requested in the HHS-5161-1 package listed below.

Your application must comply with the 100 page limitation requirements described in this program announcement.

After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. ASPE will retrieve your application from Grants.gov.

You will not receive additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit an application in hard copy.

If you encounter difficulties in using Grants.gov, please contact the Grants.gov Help Desk at: 1-800-518-4726, or by email at support@grants.gov to report the problem and obtain assistance.

Checklists and registration brochures are maintained at <http://www.grants.gov/GetStarted> to assist you in the registration process.

d. When submitting electronically via Grants.gov, applicants must comply with all due dates **AND** times referenced in Section C.1 b and c under **Electronic Submission**.

Applications transmitted by e-mail or fax will not be accepted regardless of date or time of submission or receipt.

2. HARD COPY SUBMISSION

You must be registered in the Central Contractor Registration (CCR) prior to submitting an application and maintain an active CCR registration during the grant funding period. **REMINDER: CCR registration expires each year and must be updated annually.** Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>

a. Mailed applications postmarked after the closing date will be classified as late.

b. Deadline. The closing (deadline) date for submission of applications is July 20, 2011. Mailed applications shall be considered as meeting the announced deadline if they are either received on or before the deadline date or sent on or before the deadline date and received by ASPE in time for the independent review. Hard copy applications should be sent to: Dr. Don Oellerich, Deputy Chief Economist and Senior Advisor, U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation, Hubert H. Humphrey Building, 200 Independence Avenue, SW, Room 405F, Washington, DC 20201. Additional contact information is as follows: phone: (202) 690-8410, Fax: (202) 690-6562, email: Don.Oellerich@hhs.gov.

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

Applications hand-carried by applicants, applicant couriers, or by other representatives of the applicant shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m. Eastern Daylight Savings Time, at the U.S. Department of Health and Human Services, in the office of Dr. Don Oellerich, Deputy Chief Economist and Senior Advisor, U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation, Hubert H. Humphrey Building, 200 Independence Avenue, SW, Room 405F, Washington, DC 20201. (Applicants are cautioned that courier/express/overnight mail services do not always deliver as agreed.)

Applications transmitted by fax or e-mail will not be accepted regardless of date or time of submission or receipt.

3. Late application

Applications that do not meet the criteria above are considered late applications. ASPE will notify each late applicant that its application will not be considered in the current competition.

4. Extension of deadline

ASPE may extend an application deadline when circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruptions of the mail service, or in other rare cases. Determinations to extend or waive deadline requirements rest with Dr. Don Oellerich, ASPE, Department of Health and Human Services.

D. Disposition of Applications

1. Approval, disapproval, or deferral. On the basis of the review of the application, the Assistant Secretary for Planning and Evaluation will either a) approve the application as a whole or in part; b) disapprove the application; or c) defer action on the application for such reasons as lack of funds or a need for further review.
2. Notification of disposition. The Assistant Secretary for Planning and Evaluation will notify the applicants of the disposition of their applications. If approved, a signed notification of the award will be sent via US Postal Service to the business office named in the application.
3. The Assistant Secretary's Discretion. Nothing in this announcement should be construed as to obligate the Assistant Secretary for Planning and Evaluation to make any awards whatsoever. Awards and the distribution of awards among the priority areas are contingent on the needs of the Department at any point in time and the quality of the applications that are received.

Any other correspondence announcing to the Project Director, etc., that application was selected is not an authorization to begin performance and that such costs incurred before receipt of Notice Of Award are at recipient's risk and may be reimbursed only to extent considered allowable pre-award costs and approved by the grants management officer.

E. The Catalog of Federal Domestic Assistance Number

The Catalog of Federal Domestic Assistance Number is 93.239.

F. Components of a Complete Application

A complete application consists of the following items in this order:

1. HHS-5161-1 (Application for Federal Assistance) Face Page (Standard Form 424)
2. Budget Information – Non-Construction Programs (Standard Form 424A)
3. Table of Contents
4. Project/Performance Site Location(s) Form
5. Budget Justification for Section B Categories for the first year only – SEE SAMPLE BUDGET appended to the announcement
6. Checklist HHS-5161-1
7. Project Narrative Statement, organized in five (5) sections, addressing the following topics:

- a. Analysis of Key trends and Past Research
 - b. Research Agenda and Activities
 - c. Staff and Organizational Plan – Senior/Key Personnel
 - d. Training and Mentoring Emerging Scholars
 - e. Budget Narrative;
8. Any appendices or attachments
 9. Proof of Non-Profit Status, if appropriate;
 10. Copy of Applicant's Approved Indirect Cost Rate Agreement, if applicable.

Part IV – The Review Process

A. Initial Screening

Each application submitted under this program announcement will undergo a pre-review to determine that (1) the application was received by the closing date and submitted in accordance with the instructions in this announcement, (2) the applicant is eligible for funding (see Part I, Section B), (3) the application meets the matching requirements (see Part I, Section E) and (4) is within the page limit (see Part III, Section A). Note that applications that do not meet all four of the pre-review items (1 - 4) will not be reviewed further and will be ineligible for funding.

B. Competitive Review

Applications for the Poverty Research Center that pass the initial screening will be evaluated and rated by an independent, expert review panel. The panel will use the evaluation criteria listed below in Part IV. C to score each application. The evaluation criteria are designed to assess the quality of the proposed project and to determine the likelihood of its success. The evaluation criteria are closely related and are considered as a whole in judging the overall quality of an application. Points are awarded only to applications that are responsive to the evaluation criteria within the context of this program announcement. These review results will be the primary element used by ASPE in making funding decisions. HHS reserves the option to discuss applications with other federal or state staff, specialists, experts, and the general public. Comments from these sources, along with those of the reviewers, will be kept from inappropriate disclosure and may be considered in making an award decision. Selection of the successful applicant will be based on the technical and financial criteria laid out in this announcement. Reviewers will determine the strengths and weaknesses of each application in terms of the evaluation criteria listed below, provide comments and assign numerical scores--out of a possible 100 points. A summary of all applicant scores and strengths/weaknesses and recommendations will be prepared and submitted to the Assistant Secretary for decisions.

C. Evaluation Criteria

The point value following each criterion heading indicates the maximum numerical relative weight that each section will be given in the review process. An unacceptable rating on any individual criterion may render the application unacceptable. Consequently, applicants should take care to ensure that all criteria are fully addressed in the applications. Applications will be reviewed using the following evaluation criteria. Please be sure to refer to Part III, section B, application development.

(1) Approach and Research Plan (30 points)

The applicant demonstrates an understanding of the significant trends and past related research; proposes priority areas, and demonstrates how the past research relates to the priority areas (see

section on application development) especially as it relates to the priority areas identified by the applicant. The applicant demonstrates a grasp of the significance of these past trends and research. The research agenda is consistent with the trends and research analysis and builds on what is known to address important unknowns. The research planning approach demonstrates a commitment to bring a multi-disciplinary approach to understanding poverty, inequality and related priority areas.

The applicant proposes a research agenda that is scientifically sound and policy relevant. The applicant demonstrates that the research activities are likely to make significant contributions to understanding poverty, inequality, families, child outcomes, and what governments can do and cannot do to make the lives of adults, children and families more secure, healthier, and open to opportunity at the national, regional and/or state level. The applicant's approach demonstrates that it extends beyond and builds upon the past 40 years of poverty research and demonstrates how poverty and inequality and the related issues have evolved over this period. The discussion and proposed research activities address the major themes of this announcement and/or those identified by the applicant. The applicant includes concise plans for research activities in the first year as well as a five-year agenda that concretely outlines the major research themes and the activities planned for each of the priority research areas. The applicant demonstrates plans to conduct policy-relevant activities and interact with various levels of government to research, analyze and evaluate significant government initiatives and policies in a nonpartisan manner.

(2) Training and Mentoring Emerging Scholars (20 points)

The applicant demonstrates clear efforts to develop and expand a diverse corps of emerging scholars and researchers. The applicant sets clear, attainable goals to expand the diversity of emerging poverty scholars. The applicant demonstrates efforts to mentor and support students, research assistants, Ph.D. candidates, postdoctoral students, and other research scholars. The applicant demonstrates plans to integrate the training of research scholars and expose them to policy research activities at ASPE. The applicant demonstrates methods to ensure diversity. The mentoring plan demonstrates an adequate level at which investigators have direct contact with and/or engage with students. The applicant demonstrates efforts to expose and engage students in poverty-related research and encourage the pursuit of advanced studies and/or careers in public policy and programs which address the causes, correlates and consequences of poverty and inequality and the needs of the poverty population. The applicant demonstrates efforts to reach emerging scholars at institutions that have not had the capacity to mentor students as poverty researchers.

The applicant demonstrates the development and implementation of innovative approaches to reach undergraduates to expand student participation in poverty related research and poverty related careers. The program demonstrates a plan to attract a diversified pool of talented students into careers focused on inequality and poverty.

(3) Dissemination (10 points)

The applicant's approach to dissemination and modes of communicating with a broad audience of academics, policymakers, and practitioners - including, for example, convening conferences and/or workshops, newsletters, electronic media and communication - is detailed and demonstrates an understanding of the target groups' needs, creatively use existing and emerging technologies and demonstrates a high likelihood of success.

(4) Quality of proposed staffing and proposed organization arrangements (25 points)

The applicant's proposed director/principal investigator and staff demonstrate appropriate levels of research experience, demonstrated research skills, administrative skills, public administration experience, and relevant technical expertise. Raters may consider references on prior research projects. The applicant demonstrates an adequate level of Director and staff time commitments to the Center. The applicant includes the time commitment of proposed staff and the role of the application authors in the proposed center. Whether the applicant can maintain a single location for research, teaching, and scholarship is an important consideration. If the applicant proposes a multi-site center or other innovative arrangement the applicant demonstrates that the arrangements can adequately meet the objectives of this solicitation. The applicant demonstrates an ability to work in collaboration with other scholars in search of similar goals, especially the other Research Centers funded under this announcement and ASPE's National Center for Family and Marriage Research. The applicant demonstrates the nature and extent of the organizational support for research, mentoring scholars, and dissemination in topical areas related to the Center's central priorities. The applicant demonstrates plans to reach out to researchers within the college/university to ensure a multi-disciplinary effort; efforts to develop or expand the Center's presence on campus and in the broader community will be assessed. Applicant demonstrates plans to reach out to researchers at universities that traditionally have not had the capacity to foster a program of poverty research and the training of poverty researchers. In addition, the awardee must commit to working cooperatively with other ASPE-sponsored Poverty Research Centers. The applicant includes a plan for internal advisory or management teams drawn from a variety of disciplines from within the institution that demonstrates a multi-disciplinary interest and commitment. The applicant demonstrates a commitment of the university (and proposed institutional unit that will contain the Center) to support all three major Center activities: (1) scholarly, policy-relevant research including plans for an extramural research program; (2) the mentoring and development of emerging scholars interested in poverty, inequality, families, children, and public policy; and (3) dissemination of research and other information to a broad and disparate set of academic, research, and policy communities. The applicant demonstrates the capacity to work with a range of government agencies. The applicant demonstrates an adequate role and contribution expected of the external advisory committee.

(5) Adequacy and Appropriateness of Overall Budget and the Allocation of Resources across Administrative, Research and Other Areas (15 points)

The applicant demonstrates: (a) the budget assures an efficient and effective allocation of funds to achieve the objectives of this solicitation and (b) the applicant has additional funding from other sources, including the host institution, at or above the required match of 10 percent of the total budget. If the applicant has plans to secure additional funding that is not currently on hand the applicant must demonstrate clear plans for securing that funding and an assessment of success.

The application includes a narrative description and justification for proposed budget line items and demonstrates that the project's costs are adequate, reasonable and necessary for the activities or personnel to be supported. The budget and narrative demonstrate a clear relationship to the approach and the budget for the first year of funding is linked to the 5-year plan. The budget demonstrates an efficient and effective allocation of funds to achieve the objectives of the Center and this solicitation. The budget demonstrates an appropriate allocation of funds to support the capacity building functions of the Center - research, mentoring and dissemination as well as core administrative functions necessary to carry out the Center's mission. When additional funding is contemplated, beyond the required match, applicants should note whether the funding is being donated by the institution, is in-hand from another funding source, or will be applied for from another funding source. The applicant demonstrates how the applicant will meet the matching requirement (see Section I, Part E). The budget should include travel for the national advisory board members. (see sample budget appended to the announcement for needed budget details.)

Protection of Human Subjects Regulations

SAMHSA and ASPE expect that most grantees funded under this announcement will not have to comply with the Protection of Human Subjects Regulations (45 CFR 46), which requires Institutional Review Board (IRB) approval. However, in some instances, the applicant's proposed performance assessment design may meet the regulation's criteria for research involving human subjects. For assistance in determining if your proposed performance assessment meets the criteria in 45 CFR 46, Protection of Human Subjects Regulations, refer to the SAMHSA decision tree on the SAMHSA Web site, under "Applying for a New SAMHSA Grant," <http://www.samhsa.gov/grants/apply.aspx>.

In addition to the elements above, applicants whose projects must comply with the Human Subjects Regulations must fully describe the process for obtaining IRB approval. While IRB approval is not required at the time of grant award, grantees will be required, as a condition of award, to provide documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP). IRB approval must be received in these cases prior to enrolling participants in the project. General information about Human Subjects Regulations can be obtained through OHRP 67 at <http://www.hhs.gov/ohrp>, or ohrp@osophs.dhhs.gov, or (240) 453-6900. SAMHSA-specific questions should be directed to the program contact listed in the Summary Section of this announcement.

Part V. Administrative Information

Intergovernmental Review

State Single Point of Contact (Executive Order 12372). The Department of Health and Human Services has determined that this program is not subject to Executive Order No. 12372, Intergovernmental Review of Federal Programs, because it is a program that is national in scope and the only impact on state and local governments would be through subgrants. Applicants are not required to seek intergovernmental review of their applications within the constraints of Executive Order 12372.

Administrative and National Policy Requirements

- If your application is funded, you must comply with all terms and conditions of the grant award. Standard terms and conditions are available on the SAMHSA Web site at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA Web site (<http://www.samhsa.gov/grants/management.aspx>).
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, ASPE and SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:
 - Actions required to be in compliance with confidentiality and participant protection/human subjects requirements.
 - Requirements relating to additional data collection and reporting.
 - Requirements relating to participation in a cross-site evaluation.
 - Requirements to address problems identified in review of the application.
 - Revised budget and narrative justification.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets and outcomes. ASPE program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

- Grant funds cannot be used to supplant current funding of existing activities. “Supplant” is defined as replacing funding of a recipient’s existing program with funds from a Federal grant.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services “Survey on Ensuring Equal Opportunity for Applicants.” This survey is included in the application kit for SAMHSA grants and is posted on the SAMHSA Web site at <http://www.samhsa.gov/grants/downloads/SurveyEnsuringEqualOpp.pdf>. You are encouraged to complete the survey and return it, using the instructions provided on the survey form.

Funding limitations/restrictions

Cost principles describing allowable and unallowable expenditures for Federal grantees, including ASPE and SAMHSA grantees, are provided in the following documents, which are available at <http://www.samhsa.gov/grants/management.aspx>:

- Educational Institutions: 2 CFR Part 220 (OMB Circular A-21)
- State, Local and Indian Tribal Governments: 2 CFR Part 225 (OMB Circular A-87)
- Nonprofit Organizations: 2 CFR Part 230 (OMB Circular A-122)
- Hospitals: 45 CFR Part 74, Appendix E

Reporting Requirements

In addition to the data reporting requirements listed, you must comply with the following reporting requirements:

Progress and Financial Reports

- You will be required to submit quarterly, and final progress reports, as well as annual and final financial status reports.
- Because ASPE is extremely interested in ensuring centers can be sustained, your progress reports should explain plans to ensure the sustainability of efforts initiated under this grant.
- If your application is funded, ASPE will provide you with guidelines and requirements for these reports at the time of award and at the initial grantee orientation meeting after award. ASPE staff will use the information contained in the reports to determine your progress toward meeting its goals.

- You will be required to comply with the requirements of 2CFR Part 170 -The Transparency Act Sub award and Executive Compensation Reporting Requirements. See <http://www.samhsa.gov/grants/subaward.aspx> for information on implementing this requirement.

(deleted reference to GPRA reporting requirements as they do not apply to ASPE grants)

Transparency Act Requirements:

As required by the Federal Funding Accountability and Transparency Act of 2006, this new award is subject to the subaward and *executive* compensation reporting requirement of 2 CFR Part 170. Although the full text of this regulation is attached, you may access the language online at <http://www.samhsa.gov/grants/subaward.aspx>.

The following Term of Award is applicable to all (Type 1) new grants which start on or after Oct. 1, 2010. At this time, Type 2s (competing renewals) and Type 3s (competing supplements) are not included, but may be subject to this requirement in the future:

Reporting Subawards and Executive Compensation

a. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include *Recovery* funds (as defined in section 1512(a)(2) of the American *Recovery* and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. Where and when to report.

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your *five* most highly compensated *executives* for the preceding completed fiscal year, if-

i. the total Federal funding authorized to date under this award is \$25,000 or more;

ii. in the preceding fiscal year, you received-

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <http://www.ccr.gov>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if-

i. in the subrecipient's preceding fiscal year, the subrecipient received-

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 780(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report subrecipient *executive* total compensation described in paragraph c.i. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by *November* 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local *government*, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you *received* this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and *services* needed to carry out the project or program (for further explanation, see Sec. 11.210 of the attachment to OMB Circular A-133, "Audits of States, Local *Governments*, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. Subrecipient means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

Sherry Glied
Assistant Secretary for Planning and Evaluation

Date

Sample Budget and Justification (match required)

THIS IS AN ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE. WITH GUIDANCE FOR COMPLETING SF 424A: SECTION B FOR THE BUDGET PERIOD.

A. Personnel: Provide employee(s) (including names for each identified position) of the applicant/recipient organization, including in-kind costs for those positions whose work is tied to the grant project.

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	10%	\$6,489
(2) Grant Coordinator	To be selected	\$46,276	100%	\$46,276
(3) Clinical Director	Jane Doe	In-kind cost	20%	\$0
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of the grant and will be considered key staff.
- (2) The coordinator will coordinate project services and project activities, including training, communication and information dissemination.
- (3) Clinical Director will provide necessary medical direction and guidance to staff for 540 clients served under this project.

Key staff positions require prior approval after review of credentials of resume and job description.

NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	7%	\$4,542

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(2) Prevention Specialist	Sarah Smith	\$26,000	25%	\$6,500
(3) Peer Helper	Ron Jones	\$23,000	40%	\$9,200
(4) Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$21,580

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of grant and will be considered key staff.
- (2) The Prevention development specialist will provide staffing support to the working council.
- (3) The peer helper will be responsible for peer recruitment, coordination and support.
- (4) The clerical support will process paperwork, payroll, and expense reports which is not included in the indirect cost pool.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A) **\$52,765**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A) **\$21,580**

B. Fringe Benefits: List all components of fringe benefits rate

FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$21,580	\$1,651
Workers Compensation	2.5%	\$21,580	\$540
Insurance	10.5%	\$21,580	\$2,266
		TOTAL	\$4,457

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A) **\$10,896**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A) **\$4,457**

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
(1) Grantee Conference	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$180/night x 2 persons x 2 nights	\$720
		Per Diem (meals and incidentals)	\$46/day x 2 persons x 2 days	\$184
(2) Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$2,444

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

- (1) Two staff (Project Director and Evaluator) to attend mandatory grantee meeting in Washington, DC.
- (2) Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on organization's policies/procedures for privately owned vehicle (POV) reimbursement rate. If policy does not have a rate use GSA.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
(1) Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 2 persons	\$300
		Hotel	\$155/night x 2 persons x 2 nights	\$620
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
(2) Local Travel	Outreach workshops	Mileage	350 miles x .38/mile	\$133
			TOTAL	\$1,237

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

(1) Grantees will provide funding for two members to attend the regional technical assistance workshop (our closest location is Chicago, IL).

(2) Local travel rate is based on agency's POV reimbursement rate. If policy does not have a rate use GSA.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A) **\$2,444**

NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$1,237**

D. Equipment: an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit – federal definition.

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

NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$0**

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

FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600

Item(s)	Rate	Cost
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$3,796

JUSTIFICATION: Describe the need and include an adequate justification of how each cost was estimated.

- (1) Office supplies, copies and postage are needed for general operation of the project.
- (2) The laptop computer is needed for both project work and presentations.
- (3) The projector is needed for presentations and outreach workshops.

All costs were based on retail values at the time the application was written.

NON-FEDERAL MATCH

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Bookcase	\$75	\$75
Digital camera	\$300	\$300
Fax machine	\$150	\$150
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
	TOTAL	\$1,773

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

- (1) The local television station is donating the bookcase, camera, fax machine, and computer (items such as these can only be claimed as match once during the grant cycle and used for the project). The “applying agency” is donating the additional costs for office supplies and postage.

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF424A) \$3,796

NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A) \$1,773

F. Contract: A contractual arrangement to carry out a portion of the programmatic effort or for the acquisition of routine goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. A consultant is an individual retained to provide professional advice or services for a fee. The applicant/grantee must establish written procurement policies and procedures that are consistently applied. All procurement transactions shall be conducted in a manner to provide to the maximum extent practical, open and free competition.

COSTS FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND NARRATIVE JUSTIFICATION. IF APPLICABLE, NUMBERS OF CLIENTS SHOULD BE INCLUDED IN THE COSTS.

FEDERAL REQUEST

Name	Service	Rate	Other	Cost
(1) State Department of Human Services	Training	\$250/individual x 3 staff	5 days	\$750
(2) Treatment Services	1040 Clients	\$27/client per year		\$28,080

Name	Service	Rate	Other	Cost
(3) Jane Doe (Case Manager)	Treatment Client Services	1FTE @ \$27,000 + Fringe Benefits of \$6,750 = \$33,750	*Travel at 3,124 @ .50 per mile = \$1,562 *Training course \$175 *Supplies @ \$47.54 x 12 months or \$570 *Telephone @ \$60 x 12 months = \$720 *Indirect costs = \$9,390 (negotiated with contractor)	\$46,167
(4) Jane Doe	Evaluator	\$40 per hour x 225 hours	12 month period	\$9,000
(5) To Be Announced	Marketing Coordinator	Annual salary of \$30,000 x 10% level of effort		\$3,000
			TOTAL	\$86,997

JUSTIFICATION: Explain the need for each contractual agreement and how they relate to the overall project.

- (1) Certified trainers are necessary to carry out the purpose of the statewide consumer Network by providing recovery and wellness training, preparing consumer leaders statewide, and educating the public on mental health recovery.
- (2) Treatment services for clients to be served based on organizational history of expenses.
- (3) Case manager is vital to client services related to the program and outcomes.
- (4) Evaluator is provided by an experienced individual (Ph.D. level) with expertise in substance abuse, research and evaluation and is knowledgeable about the target population and will report GPRA data.

(5) Marketing Coordinator will develop a plan to include public education and outreach efforts to engage clients of the community about grantee activities, provision of presentations at public meetings and community events to stakeholders, community civic organizations, churches, agencies, family groups and schools.

*** Represents separate/distinct requested funds by cost category**

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) **\$86,997**

NON-FEDERAL MATCH (Consultant)

Name	Service	Rate	Other	Cost
Jane Doe	Outreach meeting facilitation	\$43.00/hr. x 20 hrs./month x 12 months		\$10,320
	Travel Expenses	148 miles/month @ .38/mile x 12 months		\$675
			TOTAL	\$11,051

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

- (1) Facilitator volunteering his/her time to facilitate the youth prevention and outreach sessions outlined in the strategic plan. Hourly rate is based on an average salary of an outreach facilitator in the geographic area.
- (2) Travel is based on average distance between facilitator's location and the meeting site. Mileage rate is based on POV reimbursement rate.

NON-FEDERAL MATCH (Contract)

Entity	Product/Service	Cost
(1) West Bank School District	Student Assistance Program for 50 students @ \$300 per year	\$15,000
	TOTAL	\$15,000

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

(1) West Bank School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person.

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) **\$86,997**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6f of form SF424A) **\$26,051**

G. Construction: NOT ALLOWED – Leave Section B columns 1&2 line 6g on SF424A blank.

H. Other: expenses not covered in any of the previous budget categories

FEDERAL REQUEST

Item	Rate	Cost
(1) Rent*	\$15/sq.ft x 700 sq. feet	\$10,500
(2) Telephone	\$100/mo. x 12 mo.	\$1,200
(3) Client Incentives	\$10/client follow up x 278 clients	\$2,780
(4) Brochures	.89/brochure X 1500 brochures	\$1,335
	TOTAL	\$15,815

JUSTIFICATION: Break down costs into cost/unit (e.g. cost/square foot, etc.). Explain the use of each item requested.

(1) Office space is included in the indirect cost rate agreement; however, if other rental costs for service site(s) are necessary for the project, it may be requested as a direct charge. The rent is calculated by square footage or FTE and reflects SAMHSA’s fair share of the space.

***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 arms length arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.**

(2) The monthly telephone costs reflect the % of effort for the personnel listed in this application for the SAMHSA project only.

(3) The \$10 incentive is provided to encourage attendance to meet program goals for 278 client follow-ups.

(4) Brochures will be used at various community functions (health fairs and exhibits).

NON-FEDERAL MATCH

Item	Rate	Cost
(1) Space rental	\$75/event x 12 events/year	\$900
(2) Internet services	\$26/mo. x 12 mo.	\$312
(3) Student surveys	\$1/survey x 1583 surveys	\$1,583
(4) Brochures	.97/brochure x 1500 brochures	\$1,455
	TOTAL	\$4,250

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

(1) Donated space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes.

(2) The applying agency is donating the internet services for the full-time coordinator.

(3) The ABC Company is donating the cost of 1,583 for student surveys.

(4) The ABC Company is donating the printing costs for the bi-monthly brochures.

All costs are the value placed on the service at the time of this grant application.

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) **\$15,815**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6h of form SF424A) **\$4,250**

Indirect cost rate: Indirect costs can only be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: <http://www.samhsa.gov> then click on grants – Grants Management – Contact

Information – Important Offices at SAMHSA and DHHS - HHS Division of Cost Allocation – Regional Offices.

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

8% of personnel and fringe (**.08 x \$63,661**) **\$5,093**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)

8% of personnel and fringe(**.08 x \$26,037**) **\$2,083**

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TOTAL DIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$172,713**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6i of form SF424A)
\$59,348

INDIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF424A) **\$5,093**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6j* of form SF424A)
\$2,083

TOTALS: (sum of 6i and 6j)

FEDERAL REQUEST – (enter in Section B column 1 line 6k of form SF424A) **\$177,806**

NON-FEDERAL MATCH-(enter in Section B column 2 line 6k of form SF424A) **\$61,431**

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UNDER THIS SECTION REFLECT OTHER NON-FEDERAL SOURCES OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g., Applicant, State, Local, Other, Program Income, etc.

Provide the total proposed Project Period Federal & Non-Federal funding as follows:

Proposed Project Period

a. Start Date:	09/30/2011	b. End Date:	09/29/2016
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BUDGET SUMMARY (should include future years and projected total)

Category	Federal Request For Year 1	Non-Federal Match for Year 1	Year 2 Federal Request *	Year 2 Non-Federal Match *	Year 3 Federal Request *	Year 3 Non-Federal Match *	Year 4 Federal Request *	Year 4 Non-Federal Match *	Year 5 Federal Request *	Year 5 Non-Federal Match *
Personnel	\$52,765	\$21,580	\$54,348	\$1,338	\$55,978	\$40,000	\$57,658	\$35,000	\$59,387	\$43,000
Fringe	\$10,896	\$4,457	\$11,223	\$275	\$11,558	\$8,260	\$11,906	\$7,228	\$12,263	\$8,880
Travel	\$2,444	\$1,237	\$2,444	\$2,000	\$2,444	\$1,500	\$2,444	\$1,200	\$2,444	\$2,600
Equipment	0	0	0	0	0	0	0	0	0	0
Supplies	\$3,796	\$1,773	\$3,796	\$2,000	\$3,796	\$2,000	\$3,796	\$2,500	\$3,796	\$4,500
Contractual	\$86,997	\$26,051	\$86,997	\$67,000	\$86,997	\$15,000	\$86,997	\$10,000	\$86,997	\$14,500
Other	\$15,815	\$4,250	\$13,752	\$52,387	\$11,629	\$5,786	\$9,440	\$8,976	\$7,187	\$4,000
Total Direct Charges	\$172,713	\$59,348	\$172,560	\$125,000	\$172,403	\$72,546	\$172,241	\$64,904	\$172,074	\$77,480
Indirect Charges	\$5,093	\$2,083	\$5,246	\$129	\$5,403	\$3,861	\$5,565	\$3,378	\$5,732	\$4,150
Total Project Costs	\$177,806	\$61,431	\$177,806	\$125,129	\$177,806	\$76,407	\$177,806	\$68,282	\$177,806	\$81,630

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$889,030**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A) **\$412,879**

*** FOR REQUESTED FUTURE YEARS:**

1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.

2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policies and procedures that state all employees within the organization will receive a COLA.

