Application Guidelines
and Requirements for

Research and Demonstration Projects

at the Centers for Medicare & Medicaid Services

- Research Grants
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- Demonstrations

CMS
CENTERS for MEDICARE & MEDICAID SERVICES

Centers for Medicare & Medicaid Services

GRANT APPLICATION KIT

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GENERAL INFORMATION
ON SUBMISSION OF RESEARCH AND DEMONSTRATION GRANT AND COOPERATIVE AGREEMENT APPLICATIONS

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Centers for Medicare & Medicaid Services
Office of Research, Development, and Information

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INFORMATION ON SUBMISSION OF RESEARCH AND DEMONSTRATION GRANT AND COOPERATIVE AGREEMENT APPLICATIONS

The following are general policies and procedures related to the submission of grant and cooperative agreement applications for research and demonstration projects sponsored by the Centers for Medicare & Medicaid Services (CMS), including unsolicited applications. Individual grant program announcements may specify different procedures.

APPLICATION PROCESS

There are two basic ways to get and submit an application. Standard application forms and related instructions are used for unsolicited grants only, and are available for download at www.cms.hhs.gov/GrantOpportunities on the web. Complete the applications for grants and cooperative agreements and send the original signed application and 2 copies to:

CMS Grants Office
Office of Acquisition and Grants Management
Centers for Medicare & Medicaid Services
7500 Security Boulevard, C2-21-15
Baltimore, Maryland 21244-1850

Electronic copy should be sent to Judith Norris at Judith.norris@cms.hhs.gov .

In most cases, grant applications may require submission using www.grants.gov/Apply. The grant Funding Opportunity Number will be provided. You'll need to follow these steps:

1) Register for a DUNS number (if you don't already have one)

2) Register with the Central Contractor Registry

3) Register with Credential Provider to get a user name and password for grants.gov

4) Register on www.grants.gov

5) Go to www.grants.gov and find the grant opportunity that you want to apply for.

6) Download the grant application package. Note: This may require you to download and install PureEdge Viewer if you don't already have it.

7) Complete the application package.

8) Submit the application on www.grants.gov.

CONTENTS OF THE APPLICATION:

Forms In addition to a "project narrative" that provides a detailed description of the proposed research or demonstration project and a detailed budget justification that provides a cost breakdown, the grant application should include the following completed forms. These forms are available in fillable pdf format on the CMS web site at (www.cms.hhs.gov/researchers/priorities/grants.asp).

- Form SF-424, Application for Federal Assistance – This is the "cover sheet" to the application. It must be completed and signed.
- Form SF-424-A, Budget Information – Information about the proposed budget should be shown on this form. More detailed budget information can be shown on attached pages.
- Form SF-424-B, Assurances, and the Additional Assurances: Certifications forms, must be signed and included with the application.
- Identify any lobbying activities on form SF-LLL, Disclosure of Lobbying Activities.
- The Biographical Sketch is a form that represents CMS' recommended format for providing biographical information about key personnel who will be involved in the proposed project.

Length and Content of the Project Narrative Provide a brief (1 or 2 paragraph) abstract summarizing the objectives of the proposal and a summary, not to exceed 5 pages, of the proposed project. This summary should discuss the project objectives, hypotheses to be examined, data to be used and their source(s), model type(s) and structure(s) to be used in analyses, resources available to conduct the project, and the amount and duration of support requested.

The narrative portion of the application should be typewritten, single-sided, and should not exceed 50 (for a research proposal) or 80 (for a demonstration proposal) double-spaced pages, exclusive of resumes, forms, and so forth. Applications should be neither unduly elaborative nor contain voluminous or unnecessary documentation. As a general rule, the applicant should include the following sections in the proposal (unless a section is clearly not pertinent to the applicant's specific project):

- Project Title And Objectives
- Background And Importance
- Research Questions And Methods
- Evaluation And Analysis Plan
- Phase-Down Plan (Demonstration Proposals)
- Work Plan
- Project Staff
- Organizational Chart
- Implementation Potential

For more information about the content of the project narrative, see the instructions below and the "Project Narrative Suggestions" elsewhere in this application kit.

Number of copies Submit an original signed application and 2 copies to the address above, plus an electronic copy via email.

CMS research priorities Applications that address one of the priority areas (if any) described in the section on CMS Research and Demonstration Grants generally will receive preference. Where applicable, identify the pertinent priority area.

Evaluation criteria Applications that meet initial screening criteria will be reviewed by a technical review panel that is typically composed of at least three individuals. Reviewers will score the applications, basing their scoring decisions and approval recommendations on the evaluation criteria specified in the grant program announcement. The following criteria are used to score unsolicited proposals. (Relative weights are shown in parentheses). Unsolicited proposals should fully address each of these criteria.

Project methodology/design (40 points)

The application describes specific plans for conducting the project in terms of the tasks to be performed. It includes relevant information about: hypotheses to be tested (if applicable); concise and clear statement of goals and measurable/achievable objectives; what the project will do and how it relates to similar work done in the area; how the project will be conducted; data to be collected (including specification of data sources); plan for data analysis; and milestones/phases in the progress of the project. Specifically, the proposal should contain the following:

- A clear, quantifiable statement of the project goals and objectives.
- An explicit description of the research design, including the questions to be addressed and the methods and data to be used. The methodology must be well defined and scientifically valid.
- If the project is a demonstration proposal, the applicant should include separate sections on both the research design and the evaluation design. The research design section should include a detailed description of the payment methodology and other programmatic changes. The evaluation section should provide an indication of the applicant's understanding of the evaluation issues and the various approaches to them. Should an award be made, the applicant may be required to collect data in a standardized manner to facilitate evaluation efforts. We will have the option of determining whether the applicant or CMS will be responsible for the evaluation.
- Demonstrations must contain a phase-down/phase-out plan that: (A) ensures that Medicare and Medicaid beneficiaries, as well as any other project participants, are phased out of any special programs that were initiated and exist as payable or covered health services only under the auspices of the project, or ensures that plans are in effect to provide other care for the project participants by the date the project is scheduled to end; and (B) ensures that any new payment methods initiated by the project will cease to apply at the end of the project (that is, the project in and of itself cannot commit the Medicare or Medicaid programs to an indefinite use of the payment methodology beyond the end of the project).

- The tasks and milestones must be clearly described and must include a schedule of reports to be submitted to CMS (Progress and Financial Reports as required by 45 CFR parts 74 and 92).

- The application must contain information specifying the availability of the data to be used, if data are to be collected. The discussion must describe the nature of the data sought, the sample design and size controls, comparisons of any data, and the problems that might be encountered in collection. Data that are collected under a CMS cooperative agreement or grant must be available to CMS or its agents. The applicant, however, must ensure the confidentiality of any personally identifiable information collected under the auspices of any CMS cooperative agreement or grant. The application must contain detailed plans to protect the confidentiality of all information that identifies individuals under the project. The plan must specify that this information is confidential, that it may not be disclosed directly or indirectly except for purposes directly connected with the conduct of the project, and that in all cases where disclosure takes place for any purpose not directly connected with the conduct of the project, the informed written consent of the individual must be obtained.

- Demonstration projects that require waivers (for example those under section 1115(a) of the Social Security Act, or section 402(b) of Public Law 90-248, as amended) must define the services or payment methods that will be tested under the waiver authority, list the waivers of existing program requirements that are needed, discuss the implications if these waivers are granted, and state the effect on Federal, State, and local laws as well as the effect (beneficial or adverse) on individuals enrolled in the project. If the project involves both Medicare and Medicaid waivers, a request for Medicaid waivers from the State agency administering the Medicaid program must be included with the application. Applicants should contact CMS for further information if questions arise in these cases.

Knowledge, experience, capability in area (20 points)

The application describes the applicant's prior experience in the area or in related areas. The principal investigator and other key staff are qualified and possess the experience in this or related areas and the variety of skills required to produce final results that are readily comprehensible and usable. The application should provide evidence of understanding and knowledge of prior and ongoing work in the area. Specific information also must be provided concerning how the personnel are to be organized in the project, to whom they will report, and how they will be used to accomplish specific objectives or portions of the project.

Level of effort (20 points)

The resources that will be needed to conduct the project are specified, including personnel, time, budget, and facilities. The staffing pattern clearly links responsibilities/levels of efforts to project tasks. The project's costs are reasonable in view of the anticipated results. Any collaborative effort (including subcontracts) with other organizations is clearly identified and written assurances included. A description by category (personnel, travel, consultants, and so forth) of the total of the Federal funds required is included. Funds are specified for each budget period. Specifically, the application should contain the following:

- Information specifying the availability of adequate facilities and equipment for the project or clearly state how these are to be obtained.

- The budget must be developed in detail with justifications and explanations for the amount requested. The estimated costs must be reasonable considering the anticipated results.

- Applicants are expected to contribute towards the project costs. Generally 5 percent of the total project costs is considered acceptable. CMS rarely approves grants or cooperative agreements for research or demonstration projects in which the Federal Government covers 100 percent of the project's costs. The budget may not include costs for construction or remodeling or for project activities that take place before the applicant has received official notification of our approval of the project.

- For demonstration projects involving waivers, budget estimates for administrative and service costs must be prepared in accordance with the prescribed methodology. Such applications also must contain estimates, prepared in accordance with the prescribed methodology in the official announcement, of the amount of program and administrative expenditures that will occur under the waivers and a comparison of these expenditures to those that are projected to occur in the program in the absence of the waivers.

- Each application must include a statement that, if the project is awarded, the awardee will furnish quarterly reports of expenditures for administrative and program costs (and, for demonstration projects involving waivers, for service costs) for the project within the approved budget in the format to be specified under special terms and conditions in the cooperative agreement or grant.

Project objectives and expected outcomes (20 points)

How closely do the project objectives fit those of the solicitation (or, for unsolicited proposals, CMS' research and demonstration priorities)? What is the intrinsic merit of the research/study? The need for the project is discussed in terms of the importance of the issues to be addressed and the particular project proposed, as well as how the proposed project builds on and expands previous work in the area. The application should discuss plans for utilization of the project's results, for the potential usefulness of the anticipated results, and expected benefits to CMS and other target groups.

OTHER CONSIDERATIONS

Selection Criteria for Funding New Projects

An independent review of applications is typically conducted by a panel of not less than three experts. The panel may include experts from both the Federal government and the private sector. The panelists' recommendations will contain numerical ratings (based on the specified rating criteria), ranking of all competing applications, and a written assessment of each application.

Although the recommendations of the technical review panels are a major factor in making the decision about an application, scores and recommendations are not the only factors. The compatibility of applications to CMS' research as judged by CMS leadership, the availability of funding resources, and the comments of other CMS and Department staff are considered in making funding decisions.

Multiple Applications

The applicant should indicate if the same or a similar application has been submitted to another Department of Health and Human Services (HHS) agency for funding.

Cooperative Agreement and Grant Policies

If, following review of a proposed activity, we determine that a research or demonstration project presents a danger to the physical or mental well-being of a participant of the project, Federal funds will not be made available for that project without the written informed consent of each participant. Other policies, including responsibilities, awarding and payment procedures, special provisions, and assurances, may be found in 45 CFR parts 74 and 92. Standard terms and conditions that apply to all awards can be found in the HHS Grants Policy Statement at http://www.hhs.gov/grantsnet.

It is a national policy to place a fair share of purchases with small, minority-owned, and woman-owned business firms. HHS is strongly committed to the objectives of this policy and encourages all recipients of its cooperative agreements and grants to take affirmative steps to ensure such fairness; in particular, recipients are encouraged to:

- place small, minority-owned, and woman-owned business firms on bidders' mailing lists,
- solicit these firms whenever they are potential sources of supplies, equipment, or services,
- where feasible, divide total requirements into smaller needs and set delivery schedules that will encourage participation by these firms, and
- use the assistance of the Minority Business Development Agency of the Department of Commerce, the Office of Small and Disadvantaged Business Utilization, HHS, and similar available State and local government agencies.

UNSOLICITED GRANT APPLICATIONS

An *unsolicited grant application* is an application for a grant or cooperative agreement which is not within the scope of any existing CMS program announcement (grant solicitation) issued or expected to be issued, but which is within the scope of CMS' research and demonstration grant authority. "Unsolicited" means that the application is submitted on the applicant's own initiative, without prior formal or informal solicitation by any Federal Government official.

All grant applications, including unsolicited applications, should be mailed to the CMS Office of Acquisition and Grants Management at the following address:

Grants Officer
Office of Acquisition and Grants Management
Centers for Medicare & Medicaid Services
7500 Security Boulevard, C2-21-15
Baltimore, Maryland 21244-1850
(410) 786-5130
Judith.norris@cms.hhs.gov

CMS will screen the application for required elements to determine if it appears to be consistent with CMS' area of authority, and whether it has sufficient merit to justify a technical review. If not, the application will be returned to the applicant.

If the application passes this initial screen, CMS will typically convene a panel of governmental and/or nongovernmental independent reviewers with expertise in the appropriate subject matter to evaluate the application. The panel will review the proposal, identify strengths and weaknesses, and recommend approval or disapproval. CMS will decide whether or not to approve the application based on the panel's recommendation, consistency with CMS research priorities, and availability of funds.

PROJECT NARRATIVE SUGGESTIONS

FOR WRITING A CMS COOPERATIVE AGREEMENT / GRANT PROPOSAL FOR A RESEARCH OR DEMONSTRATION PROJECT

Prepared by:
Centers for Medicare & Medicaid Services
Office of Research, Development, and Information
June 2007

IMPORTANCE OF THE PROJECT NARRATIVE

The first and most important audience a grant / cooperative agreement applicant needs to reach are the peer reviewers who will read, evaluate, and pass judgment on the proposed study. Thus, the basic purpose of the applicant's proposal is to communicate his or her ideas to these reviewers, thoroughly and clearly. If the applicant cannot successfully outline his or her objectives, explain his or her study methods, or argue for the importance of his or her project, the proposal will most likely be disapproved on scientific and technical grounds.

Technical review panels are usually convened about a month after the closing dates specified in the Federal Register notice or program announcement. The panels generally consist of experts from CMS, and may include experts from other Federal agencies, and academic and research institutions around the country. These experts represent a range of disciplines (e.g., economics and statistics, psychology and sociology, medicine and health policy). Applicants should assume that at least one reviewer on the panel is knowledgeable about the topics they want to investigate and the methods they propose to use in their investigation. But applicants should remember also that they must communicate with all panelists and that many panel members may not have specialized knowledge in their particular area.

The reviewers receive applications to be reviewed in advance and then meet for (usually) a day or two. In that time, they may discuss, critique, and vote on 10 to 20 or more proposals. This means that, often, proposals are read and reviews written under great time constraints. Therefore, it is important that the applicant make his or her proposal as clear and concise as possible, consistent with telling the full story about the intended project. Since there is a page limit for each application, the application, must be concise, yet thorough. Reviewers should be able to understand all of the following:

What the applicant proposes to do;
Why the applicant proposes to do it in the manner described;
Why the enterprise is worthwhile, in its own right and to CMS; and
What new contributions the project offers (and how it is related to past or current work in the area).

Reviewers should not be confronted with extraneous material, excessively long literature reviews, or unsubstantiated claims about the project's relevance or importance.

In communicating to the panel members, one of the most critical sections of the proposal in trying to convince them that the project is worth investigation and that the applicant can handle the task is the Project Narrative, because it is the heart of the proposal and as such is given the most scrutiny by the review panel. Over the years, conventions have emerged about the structure of research applications, including standard outlines. The Project Narrative is no exception. Although the outline suggested below is not an absolute requirement, it is a commonly used guide for CMS proposals. Thus, it is used here as the format for discussing the major points about preparing a good proposal.

PROJECT TITLE AND OBJECTIVES

The applicant should be clear and accurate in developing a project title. Find the key words, phrases, or descriptors that will highlight the population of interest, the medical problems of concern, and the health policy issues of importance, and then stop.

The objectives should pinpoint what the applicant plans to do and expects to achieve. They should be relatively few in number and listed in approximate order of priority or importance. Remember that what is stated as the applicant's objectives sets the framework and tone for judging what the applicant plans to achieve. Do not promise to study the world or to answer all the crucial questions in the area.

BACKGROUND AND IMPORTANCE

Background to the Project. This is in all likelihood where the applicant will put his or her literature review. It should be short, comprehensive and up-to-date. Basically, the objective here is to identify the gaps in knowledge or practice that the applicant's project will help correct. The applicant must show that he or she understands the important studies that form the foundation for the proposal and indicate how the project will go beyond them. The applicant is not expected to review all the relevant literature in great detail; if he or she is conversant with other bibliographies or literature reviews, they should be cited.

If there is no literature or body of knowledge in the area proposed for study, this should be stated. However, rarely does a project start *de novo*; so to be safe the applicant is still better off briefly considering the research closest to the proposed work. It also is important to show familiarity with CMS-sponsored work. The literature review will presumably pick up relevant published articles or reports. For ongoing projects, one valuable source of reference is the CMS publication called Active Projects Report: Research and Demonstrations in Health Care Financing, which is updated annually. (These reports can be downloaded from CMS' Internet site at www.cms.hhs.gov/ActiveProjectReports/. The application should indicate how the proposed work builds on earlier or current projects or addresses new problems not yet investigated through CMS funding. This often provides a lead-in to the next subsection, "Importance of the Project."

Importance of the Project. There are two main points that should be addressed here: the significance of the question or issue proposed to be studied and the significance of the applicant's particular project. As to the former, CMS' grant program announcements often highlight priority areas for CMS-sponsored research. If the proposed topics fit into one of the areas specifically mentioned in the solicitation, the application should say so, because proposals in these areas may receive priority for funding.

This is the place to make as strong a case as possible for the importance of the particular project being proposed: it may add to the general body of knowledge about a problem; it may expand the possible ways to organize and deliver health services to meet a particular human need; it may do both. The point is to marshal a credible, straightforward argument for the important contributions the work will make.

RESEARCH QUESTIONS AND METHODS

Together with the subsection "Evaluation and Analysis Plan," this is the heart of the Project Narrative. Hence, the technical panel members will look to see if the applicant has:

- Identified the important effects or outcomes to study; and
- Designed the study in a way that will permit detection of those effects if they occur and determine the correct causal factors.

Hypotheses/Study Issues. If there are hypotheses to test, they should be stated explicitly. If there are no specific hypotheses, the application should discuss the issues that prompted the applicant to undertake the project.

Study Design. The basic objective here is to describe how the project will operate. The research methods will come under close scrutiny in any review. It is crucial that the timing and sequence of the project be clear in the reviewers' minds; often, including a descriptive diagram or flow chart at this point that makes the timeline clear will prove very helpful. Illustrative questions that should be addressed directly in the proposal are briefly noted below, but they do not necessarily exhaust the important dimensions of the study design that may be pertinent in a particular case:

- Variables to be studied:

- Population to be studied/sample to be used. (The discussion here relates to the important issue of the precision or power of the study and the strength of its eventual conclusions, so the application should indicate here (or in an appendix) whatever power calculations might have been done to justify the sizes. Will the sample size permit accurate generalization to larger populations?

- Data collection plans. (Describing fully the plans for gathering information is critical: What pieces of information are to be collected? Precisely from whom? How often? By what techniques? Are there alternative data collection methods or sources of information that have been considered but rejected? If so, explain why, especially if the ones dismissed might be less costly.)

Uppermost in the reviewers' minds may be the question of how each piece of information relates to the hypotheses to be tested, issues to be studied, or program to be demonstrated. The study design must present a chain of reasoning that is internally consistent--an unbroken set of links, so to speak. These links are critical and the following points are important:

- Give a good, specific description of the match between what is to be investigated and the particular data to be collected.

- Clarify what the dependent (or response) variables are, what the independent (or treatment or explanatory) variables are, and what factors may need to be measured or accounted for because they might otherwise confound the analyses.

- If relevant, discuss the project's cross-sectional aspects (comparisons in one time period) and longitudinal aspects (comparisons over time).

- It should be clear by the end of this section that the applicant will not collect data for which there is no obvious use in the study and that the applicant will have obtained pertinent data for all the topics proposed to be addressed.

If the data collection instruments already exist in some form, consideration should be given to including them (or at least a subset) as an appendix. If the applicant is going to get help from persons knowledgeable about these instruments, such as the original developers, the application should so state.

If the applicant is developing his or her own measures or instruments, the application should state how their reliability and validity will be established. In this instance, the application should give at least some idea of what such forms might look like or what elements (e.g., individual illustrative questions) they might contain.

If interviewers, medical record abstractors, or other data collection personnel are to be used, the application should describe how they will be selected and trained. In addition the application should distinguish between two types of data that may be collected in the study: primary (gathered directly from subjects) and secondary (drawn from sources external to the direct data-gathering). If there are plans to draw on secondary data sources there should be a discussion of both their advantages and limitations for the project.

Data Collection Problems. If special data collection problems are foreseen, the application should indicate what they are and what efforts will be made to overcome them. It is better to show that consideration has been given to what the potential problems are rather than have reviewers assume that the applicant was not aware difficulties might arise.

Database Management. No matter how large the proposed study, the application should address explicitly how the data will be held, managed, and processed. For example, who will have the main responsibility for organizing, storing, and archiving completed questionnaires? Who will maintain computer data tapes and make needed workfiles available to those who will analyze the data? How will the privacy of information on study participants ”be guarded and guaranteed,” including the special protections for the privacy and security of person-level data collected in a federally-funded project? See the CMS website at: www.cms.hhs.gov/InformationSecurity/ and www.cms.hhs.gov/HIPAAGenInfo/04_PrivacyStandards.Asp#TopOfPage.

EVALUATION AND ANALYSIS PLAN

The plans for analyzing the data from the evaluation plan should be discussed here.

Analysis Plan. In this section, the application should explain, as clearly as possible, how the data to be collected will be used/analyzed. This section should convince reviewers that the proposed methods are consistent with the hypotheses/issues to be studied and the data to be collected, and it should persuade them that the quality and nature of the data will support the level of analysis planned.

Analytic Methods. This section should discuss specially what analytic methods are expected to be used to address which questions. It is often helpful to give examples of the analyses or to show what the tables of results might look like. Often, discussing hypothetical findings based on likely values of the data which will eventually be collected is a useful device for making the analysis plan seem less abstract. The goal is to try to aid reviewers in visualizing the data set that will be compiled, so that they can think along with the applicant about what methods of analyses seem appropriate and reasonable to address the hypotheses/issue to be studied.

Analytic Pitfalls. As with data collection efforts, it is better to acknowledge possible problems with the proposed analysis and the conclusions drawn from it and indicate how those that seem most troublesome would be overcome. It is also a good idea to consult a statistician, econometrician, or some other person well acquainted with basic research methodology when planning the design and analysis of the project.

PHASE-DOWN PLAN (Demonstration Proposals)

All demonstration proposals must include a section that describes how the proposed project will wind down; this can be discussed as part of the evaluation plan. The application needs to state how the applicant will ensure that there is a smooth transition from the end of a demonstration to whatever would come next (typically, no longer giving the services directly through the project). The applicant should indicate how and when program beneficiaries will be informed that the project is coming to an end.

WORK PLAN

Description of Tasks. The proposed work should be sufficiently well planned so that the applicant can specify a set of tasks that will cover all the activities needed to complete the project. The aim is to identify all the tasks to be accomplished regarding study design and analysis. In addition, note that one task will probably involve producing a final report. Every task noted here should have some corresponding description in the methods to show how it will be accomplished; every major activity targeted for completion should have a corresponding task.

Time Schedule. The application should provide a Gantt chart or some other diagram to illustrate when the tasks outlined above will be completed, in what order, and how long they are expected to take. This is commonly done in terms of elapsed months (e.g., for a 2-year Study, months 0 through 24 would be one axis of your chart). It is helpful to adopt some conventional symbols, such as an asterisk or triangle, to show when specific milestones are to be achieved.

Working out the time schedule may seem burdensome, but it helps avoid awkward problems that the reviewers may well detect at this stage.

Level of Effort of Personnel. This section is commonly shown as a table, in which the applicant lists the key individuals (by name or by role in the demonstration) and the number of days they will devote to each task.

For multi-year projects, the applicant should show total days in each year. Total days per year should be equivalent to whatever percentage of time is shown for these individuals in the budget document. Note that reviewers pay attention to these figures. Too little time for key personnel suggests that the applicant may have an unrealistically optimistic view of what can be accomplished.

PROJECT STAFF

Qualifications of Key Staff. To the extent possible, persons the applicant believes are crucial to a successful project should be named in this section. Even very good projects will look dubious to reviewers if the principal investigator or critical staff are "to be named." The qualifications of key personnel named in this section should be discussed. A paragraph or two per person describing his or her background and experience most pertinent to this project will suffice. (However, the full curricula vitae on all these individuals should be appended to the proposal.)

This or a parallel section could also be used to describe any experience the applicant has had in conducting similar projects, especially insofar as his or her experience will be available to provide backup and support to the key staff.

If the applicant has special data collection or analytic needs, this is the place to indicate that the applicant has the right personnel for the job. Often, these individuals can be consultants rather than project staff. For instance, the project may require a physician or psychologist for certain tasks and a statistician or economist for other tasks. To the degree possible, the application should indicate who these people are or say what types of individuals will be recruited later.

Subcontracting for very specialized work, such as abstracting medical records or conducting a survey, may be an option. In these instances, if the subcontractor arrangement has not already been settled, the applicant should be explicit about whom it has in mind or what criteria would be used to select a subcontractor.

ORGANIZATIONAL CHART

The application should state who is responsible for what sets of activities and how those individuals relate to one another and to the principal investigator and/or project director. For multi-site projects, it should also say who acts as the liaison across the sites. For projects involving subcontractors (such as the organization that does just the survey work or provides the particular services), the application should show which individual(s) are responsible for those subcontractors. It should be possible to indicate all this in a single organizational chart.

IMPLEMENTATION POTENTIAL

This is not a long section, typically, but it is an important one. It is where applicant discusses the expected use, generalizability, applicability, and dissemination of the work.

OTHER PARTS OF THE PROJECT NARRATIVE

There are certain other things that the applicant can do to make the proposal clear and easy for the reviewers. First, a Table of Contents for the Project Narrative section (including its appendices) is helpful, as is numbering the pages of the narrative. Second, the application should contain an Executive Summary, which should be short and yet should cover the critical points of what is proposed. Third, examples of data collection instruments and letters of support and commitments from professional organizations, local health facilities, or possible consultants can all be included as appendices. (However, the applicant should probably forego putting some things into the appendix. These include reprints of other work done and reprints of articles that other investigators have written. Presumably this material and experience has been covered in the literature review, so unless such information is critical to understanding the proposed project or substitutes for a technical appendix, it should be left out.) Finally, the references should be complete, accurate, and match what has been cited throughout the entire document.

RESEARCH AND DEMONSTRATION GRANTS

AVAILABLE FROM THE CENTERS FOR MEDICARE & MEDICAID SERVICES

Prepared by:
*Centers for Medicare & Medicaid Service*s
*Office of Research, Development, and Informatio*n
June 2007

RESEARCH AND DEMONSTRATION GRANTS AVAILABLE FROM
The Centers for Medicare & Medicaid Services

The purpose of the Centers for Medicare & Medicaid Services' (CMS) research and demonstration program is to conduct and support projects to develop, test, and implement new health care financing and payment policies and to evaluate the impact of CMS' programs on its beneficiaries, providers, States, and other customers and partners. The scope of CMS' activities embraces all areas of health care: costs, access, quality, service delivery models, and financing and payment approaches. (An overview of CMS' research agenda is attached.) Much of CMS' extramural research and demonstration activities are funded through contracts, but CMS does award grants and cooperative agreements under several focused grant programs. In addition, CMS periodically issues focused grant announcements inviting applications to participate in specific Medicare and Medicaid demonstration projects. Research and demonstration grant announcements expected over the coming year are described below.

ANNUAL GRANT PROGRAMS

CMS conducts a limited number of focused grant programs including the Historically Black Colleges and Universities Grants Program and the Hispanic Health Services Research Grants Program. Information on these two programs is found on the following pages.

In addition, CMS operates other grant programs in research and in other areas, typically announced as available using the government-wide procedures at www.grants.gov.

HISTORICALLY BLACK COLLEGES AND UNIVERSITIES
HEALTH SERVICES RESEARCH GRANT PROGRAM

The purpose of the Centers for Medicare & Medicaid Services' Historically Black Colleges and Universities (HBCUs) Grant Program is to support researchers in carrying out health services research activities to meet the needs of diverse CMS beneficiary populations. The goals of the grant program are to: 1) encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and SCHIP programs, 2) assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries, 3) assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American communities, 4) increase the pool of African American researchers capable of implementing the research, demonstration, and evaluation activities of CMS, and 5) assist in fostering interuniversity communication and collaboration regarding African American health disparity issues.

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

To be eligible for grants under this program, an organization must be an HBCU and meet one of the following four requirements: 1) offer a Ph.D. or Master's Degree Program in one or more of the following disciplines: Allied Health, Economics, Gerontology, Health Services Administration, Health Care Administration, Health Education, Health Management, Human Services and Consumer Sciences, Nursing, Nutrition, Pharmacology, Psychology, Public Health, Public Policy, Social Work; or 2) have a School of Medicine; or 3) be a member of the National HBCU Network for Health Services and Health Disparities.

Schedule for Annual Grants

The HBCU Grant Program announcement is mailed annually to HBCUs during the Spring, and awards are announced in September. To receive a copy of the announcement, application forms, and instructions (when available), or to obtain further information about this program, contact:

OFFICE OF ACQUISITION AND GRANTS MANAGEMENT
Centers for Medicare & Medicaid Services
7500 Security Blvd., Mail Stop C2-21-15
Baltimore, MD 21244-1850
Attn: Judith Norris
(410) 786-5130
Judith.Norris@mcs.hhs.gov

OFFICE OF RESEARCH, DEVELOPMENT AND INFORMATION
Centers for Medicare & Medicaid Services
7500 Security Blvd., Mail Stop C3-19-07
Baltimore, MD 21244-1850
Attn: Richard Bragg, Ph.D.
(410) 786-7250
Richard.bragg@cms.hhs.gov

HISPANIC HEALTH SERVICES RESEARCH GRANT PROGRAM

The purpose of the Centers for Medicare & Medicaid Services' Hispanic Grant Program is to implement Hispanic American health services research activities to meet the needs of diverse CMS beneficiary populations. The grant program is designed to: 1) encourage Hispanic health services researchers to pursue research issues which impact the Medicare, Medicaid, and SCHIP programs, 2) assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries, 3) support extramural research in health care capacity development activities for the Hispanic American communities, 4) increase the pool of Hispanic American researchers available to implement the research, demonstration, and evaluation activities of CMS, 5) promote research that will be aimed at developing a better understanding of health care services issues pertaining to Hispanic Americans, and 6) foster a network for communication and collaboration regarding Hispanic health care issues.

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

To be eligible for grants under this program, an organization must be an Hispanic Serving Institution (HSI), Organization, or Association and meet one of the following four requirements: 1) offer a Ph.D. or Master's Degree Program in one or more of the following disciplines Allied Health, Economics, Gerontology, Health Services Administration, Health Care Administration, Health Education, Health Management, Human Services and Consumer Sciences, Nursing, Nutrition, Pharmacology, Psychology, Public Health, Public Policy, Social Work; or 2) be a member of Hispanic Serving Health Professions Schools; or 3) be a member of the Inter-University Program for Latino Research (IUPLR); or 4) be a member of Hispanic serving organizations or professional associations with a health services research component; or 5) demonstrate the capacity to conduct research on health services delivery or financing issues relevant to Medicare, Medicaid, and SCHIP programs.

Schedule for Annual Grants

The Hispanic Grant Program announcement is mailed annually to HSIs during the Spring, and awards are announced in September. To receive a copy of the annual announcement, application forms, and instructions (when available), or to obtain further information about this program, contact:

OFFICE OF ACQUISITION AND GRANTS MANAGEMENT
Centers for Medicare & Medicaid Services
7500 Security Blvd., Mail Stop C2-21-15
Baltimore, MD 21244-1850
Attn: Judith Norris
(410) 786-5130
Judith.Norris@cms.hhs.gov

OFFICE OF RESEARCH, DEVELOPMENT AND INFORMATION
Centers for Medicare & Medicaid Services
7500 Security Blvd., Mail Stop C3-19-07
Baltimore, MD 21244-1850
Attn: Richard Bragg, Ph.D.
(410) 786-7250
Richard.Bragg@cms.hhs.gov

CMS RESEARCH AND DEMONSTRATION PRIORITY AREAS

The general purpose of the Centers for Medicare & Medicaid Services' (CMS) research and demonstration program is to conduct and support projects to develop, test, and implement new health care financing and payment policies and to evaluate the impact of CMS' programs on its beneficiaries, providers, States, and other customers and partners. The scope of CMS' activities embraces all areas of health care: costs, access, quality, service delivery models, and financing and payment approaches.

The following themes represent CMS current priorities in research. Note that all projects must fall into CMS' statutory authorities to operate and improve Medicare, Medicaid, and other CMS programs and activities.

Monitoring and Evaluating CMS Programs

As the United States health care system continues to change, there is an ongoing need to monitor and evaluate the performance of the programs that CMS administers. Beyond traditional measures of performance (e.g., cost containment, quality, outcomes, and access), we attempt to incorporate various beneficiary-focused measures, such as satisfaction and knowledge of health behaviors. In our monitoring, we track how well Medicare, Medicaid, and SCHIP meet the needs of specific groups of beneficiaries, including vulnerable populations. Our research also examines more specific policy issues. For example, as Medicare and Medicaid continue to pursue managed care options, we examine the cost-effectiveness and quality of managed care as well as beneficiary satisfaction. Other aspects of particular concern are the Medicaid, Welfare Reform, the State Children's Health Insurance Programs, and our Beneficiary Information program. In general, we are, and continue to be, interested in examining regional/geographical differences in health care, developing improved monitoring systems for the new prospective payment systems, developing more detailed information on how many people are in Medicaid and what States cover, and analyzing variations in expenditures across different types of patients and across settings.

Strengthening Medicaid, State Children's Health Insurance Program (SCHIP), and State Programs

Managed care is a major emphasis area for the Medicare program. We are involved in research examining favorable selection in enrollment, developing systems for measuring beneficiary risk that can be used for refining capitated payments, and conducting demonstrations that test and evaluate the effectiveness of a wide range of capitated health plan arrangements. Examples include the Medicare capitation demonstration, Medicare capitation models that integrate acute and long-term care services, attempts to refine and/or to continue the development of risk adjustment methodologies, an examination of whether HMO enrollment decreases as HMOs' additional benefits are curtailed (and beneficiaries are locked into their health plans), a look at managed care outcomes for selected populations, and specific aspects of Medicare Advantage plans.

Expanding Beneficiaries' Choices and Availability of Managed Care Options

Activity under this theme supports efforts to modernize the program, exploring how Medicare can adopt successful innovations of other purchasers. CMS tests approaches that provide opportunities and appropriate incentives for coordination of complex care and that reward cost-effective decisions on the part of beneficiaries and providers. Projects in this area include coordinated care models, prospective payment for post-acute care services, payment systems focused on vulnerable populations, implementing and evaluating the durable medical equipment consumer direct purchasing demonstration, aligning hospital and physician

incentives by making an all-inclusive payment for hospital and physician services, competition-based payment models, bonus payments for health care groups, preferred provider arrangements, evaluating the graduate medical education payment alternative demonstration; assessing the impact of private contracting on beneficiaries and providers, evaluating work and practice expense of physicians; and evaluating rural telemedicine projects.

Developing Fee-for-Service (FFS) Payment and Service Delivery Systems

We need better information on trends that are likely to affect our programs. This information is used to assess the impact of alternate longer-term structural reforms necessary to deal with the major demographic changes in our beneficiary population. Our projects in this area include examining the demographics of future Medicare beneficiaries and considering the effect of “healthy aging”; assessing the effect on quality of life, health, and services as beneficiaries move into deinstitutionalized settings; assessing long-term growth assumptions for health expenditures; identifying the possible impacts of possible eligibility changes and of potential changes in health status, technology, and the marketplace; looking at potential changes in the benefit package (including a prescription drug benefit); and examining how our payment systems affect adoption of new technology and considering other ways to pay for emerging technology.

Improving Quality of Care and Performance Under CMS Programs

Our agenda involves the development and testing of improved resources that will enable consumers to choose among health plans and providers based on their relative value and quality. One part of this agenda seeks to better understand how choices are made. The complementary part of the agenda aims to develop better tools for measuring health care outcomes and quality, as well as the performance of health plans and providers. Projects in this area include development and assessment of performance measures, developing and testing approaches for selective contracting with providers (institutions and Medicare contracting health plans) based on quality, implementing and evaluating the Medicare lifestyle modification program demonstration, and developing new quality measures especially for rehabilitation hospitals.

Improving the Health of Our Beneficiary Population

A special focus of this research area is the demonstration of coordinated care models that integrate the range of services available to persons dually eligible for Medicare and Medicaid. Development of a risk adjustment system that would support capitated payment for dual eligibles is a key element of this activity. We are developing risk adjustors and methods of deriving capitation payments for dual eligibles, implementing and evaluating demonstrations for the dually eligible population, and exploring ways to improve coordination between Medicare and Medicaid.

Prescription Drugs

Our agenda involves research and demonstration projects that examine Part D plan benefits, cost sharing, pharmacy networks, formularies, claims, Part D plan payments, including geographic variations in drug prices and utilization. We are also interested in studying enrollment, including best practices for enrolling low income beneficiaries into Part D. CMS plans to continue Medicare Advantage program monitoring, monitoradverse drug events, study the impact of Part D on residents in long term care facilities, study access to Part B covered drugs, research pay-for-performance initiatives, evaluate disease management initiatives, examine dual eligible drug coverage transition issues, and study the impact of Part D on special populations.

Building Research Capacity

The research budget supports a variety of activities to increase the efficiency of our research and demonstration program and to meet the crosscutting research needs of the wider health research community. These activities include assisting the infrastructure of health services research and providing tools to support CMS's research program. One example is the Medicare Current Beneficiary Survey (MCBS)—the only comprehensive source of information on the health status, health care use and expenditures, health insurance coverage, and socioeconomic and demographic characteristics of the entire spectrum of Medicare beneficiaries.

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: Application	Pre-application	**3. DATE RECEIVED BY STATE**	State Application Identifier
☐ **Construction**	☐ **Construction**	**4. DATE RECEIVED BY FEDERAL AGENCY**	Federal Identifier
☐ **Non-Construction**	☐ **Non-Construction**		

5. APPLICANT INFORMATION

Legal Name:	**Organizational Unit**:
	Department:
Organizational DUNS:	Division:
Address:	**Name and telephone number of person to be contacted on matters involving this application (give area code)**
Street:	Prefix: / First Name:
City:	Middle Name
County:	Last Name
State: / Zip Code	Suffix:
Country:	Email:
6. EMPLOYER IDENTIFICATION NUMBER *(EIN):* ☐☐-☐☐☐☐☐☐☐	Phone Number (give area code) / Fax Number (give area code)
8. TYPE OF APPLICATION: ☐ **New** ☐ **Continuation** ☐ **Revision** If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) ☐ ☐ Other (specify)	**7. TYPE OF APPLICANT: (**See back of form for Application Types) Other (specify)
	9. NAME OF FEDERAL AGENCY:
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐ TITLE (Name of Program):	**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**
12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*	
13. PROPOSED PROJECT	**14. CONGRESSIONAL DISTRICTS OF:**
Start Date: / Ending Date:	a. Applicant / b. Project

15. ESTIMATED FUNDING:		**16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**
a. Federal	$ .00	a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:
b. Applicant	$ .00	
c. State	$ .00	
d. Local	$ .00	b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
e. Other	$ .00	☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
f. Program Income	$ .00	**17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**
g. TOTAL	$ .00	☐ Yes If "Yes" attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative

Prefix / First Name		Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR THE SF-424

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

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

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

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i and 6j)					
7. Program Income	$	$	$	$	$

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8.	$	$	$	$
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)	$	$	$	$

Section D - Forcasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)	$	$	$	$	$

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

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)	$	$	$	$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges

23. Remarks

Instructions for the SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

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

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

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

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

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

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

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

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

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

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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:	2. Status of Federal Action:	3. Report Type:
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _____ quarter _____ date of last report _____

4. Name and Address of Reporting Entity:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:
☐ **Prime** ☐ **Subawardee** Tier _____, *if known*: **Congressional District**, *if known*: 4c	 **Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known*:	**9. Award Amount,** *if known*: $
10. a. Name and Address of Lobbying Registrant (*if individual, last name, first name, MI*):	**b. Individuals Performing Services**(*including address if different from No. 10a*) (*last name, first name, MI*):

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: _____

Print Name: _____

Title: _____

Telephone No.: _____ Date: _____

Federal Use Only:

Authorized for Local Reproduction
Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employeeof a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizationallevel below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.