



Food Assistance and Nutrition Research Program

Fiscal 2006

Competitive Grants and Cooperative Agreements Program

Description and Application Process



Economic Research for a Healthy, Well-Nourished America



**Food Assistance & Nutrition
Research Program**

SAMPLE ONLY
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Checklist

All proposals submitted under the Food Assistance and Nutrition Research Program (FANRP) must contain the applicable elements described in this brochure and should be mailed by May 22, 2006. The following checklist has been prepared to assist in ensuring that the proposal is complete and in the proper order prior to mailing:

- ✓ Application for Federal Domestic Assistance Form (SF-424)
 - Is all required information accurate and complete?
 - Is the Catalog of Federal Domestic Assistance (CFDA) number: 10.250?
 - Has the authorized organizational representative signed the SF-424?
 - Is the CFDA Title: Agricultural and Rural Economic Research?
 - Have you included a telephone number, fax number, and/or e-mail address where a message may be left for you?
 - Have you included the requested total funding amount from the budget form?
- ✓ Proposal and All Attachments in PDF (only for electronic submissions through Grants.gov)
- ✓ Table of Contents
 - Are page numbers included for each item?
- ✓ Project Summary
 - Has the Project Summary been included?
 - Do the name and institution of the Principal Investigator and co-investigators appear on the page, or on the following page?
 - Does it include research objectives?
 - Is it no more than 250 words?
- ✓ Project Description
 - Is the project fully described?
 - Does this section adhere to the format and page limitations, as specified?
 - Does this section begin as page 1, as specified?
 - Does it contain a tentative schedule or workplan of major steps of study?
- ✓ Citations to Project Description
 - Are all references cited?
 - Are all citations referenced?
 - Do all citations contain a title and are they in accepted journal format?
- ✓ Documentation from Collaborator(s), or Host Institution (where appropriate)
- ✓ Vitae and Publications List(s)
 - Are vitae included for the Principal Investigator and co-investigators, senior associates, and other key project personnel (including subcontractors—see instructions)?
 - Are the vitae current and pertinent?
 - Are the publications lists complete and limited to the last 5 years?
- ✓ Budget Form (SF-424A)
 - Are budget items complete?
 - Is the summary budget included?
 - Is the funding level total in line k within the stated limit of \$400,000 for the 3-year duration of the project proposal?
 - Is the budget duration within the stated limit of 3 years?
- ✓ Indirect Cost Rate Schedule
 - For reimbursement of indirect costs, is a copy included of the applicant's indirect cost rate schedule that reports the applicant's federally negotiated audited rate?
- ✓ General
 - Does the proposal conform to all format and page limitations and deadline requirements?
 - Are there an original and 12 copies (paper submissions only)?
 - Are all copies complete?

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Overview

Applications are invited for competitive grant and cooperative agreement awards from the U.S. Department of Agriculture (USDA) for fiscal 2006. This document provides background on the research areas of interest to the Food Assistance and Nutrition Research Program (FANRP), application procedures, deadlines for submission, and guidance for the application process.

USDA's Economic Research Service (ERS) anticipates awarding approximately \$1.5 million in fiscal 2006 for competitive grants and cooperative agreements. ERS will accept proposals under this program for funding levels, inclusive of indirect cost when applicable, between \$100,000 and \$400,000 (for the duration of the grant and/or the cooperative agreement, not to exceed 3 years). Parties interested in smaller grants should consult the FANRP website at www.ers.usda.gov/briefing/foodnutritionassistance/funding/.

For 2006, applicants may continue to submit paper-copy applications under existing procedures. Alternatively, as part of the USDA's implementation of E-Government under the President's Management Agenda, the Economic Research Service will accept applications for this program submitted electronically through the Grants.gov website at www.grants.gov.

The Grants.gov website is the single access point to electronically find and apply for competitive Federal funding opportunities and manage grants from all Federal grantmaking agencies in one place.

Applicants can apply to this funding opportunity through www.grants.gov. First-time users should go to the "Get Started" tab on the website and carefully read and follow the steps listed in order to apply. Your organization will need to be registered with the Central Contractor Registry (CCR) at www.ccr.gov. Your organization also will need a Data Universal Number System (DUNS) number. A DUNS number is a unique nine-character identification number provided by the commercial company, Dun & Bradstreet (D&B). To investigate if your organization already has a DUNS number or to obtain a DUNS number, contact Dun & Bradstreet at 1-866-705-5711. Be sure to complete the Marketing Partner ID (MPIN) and Electronic Business Primary Point of Contact fields during the CCR registration process. These are mandatory fields that are required when submitting grant applications through www.grants.gov.

Please note: The DUNS and CCR requirements described above are applicable to all applicants whether you choose to apply through Grants.gov or submit a paper application package.

Authority

The authority for this program is contained in the Continuing Appropriations Resolution, Fiscal 2006 (P.L. 109-97). Under this program, subject to the availability of funds, the Secretary may award competitive grants and cooperative agreements for the support of research projects to further USDA food and nutrition assistance programs, especially the Food Stamp Program (FSP), Child Nutrition Programs (School Breakfast, National School Lunch, Summer Food Service, and Child and Adult Care Food Program), and the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC). Proposals may be submitted by any State agricultural experiment station, college, university, other research institution or organization, Federal agency, private organization, corporation, or individual.

Applicable Federal Statutes, Regulations, and Guidelines

Applicable Federal statutes, regulations, and guidelines include the following:

(a) guidelines to be followed when submitting grant proposals and cooperative agreements and rules governing the evaluation of proposals; (b) the USDA Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR 3019; (c) the USDA Uniform Federal Assistance Regulations, 7 CFR Part 3015; (d) the USDA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 7 CFR Part 3016; and (e) Cooperative Research Agreement 7 USC 3318b.

The Catalog of Federal Domestic Assistance (CFDA) number for this program is 10.250. The CFDA Title is Economic Research Service.

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Priority Research Areas

ERS is accepting economic research proposals that focus on USDA's food assistance and nutrition programs. All proposals should have important implications for these programs. Anticipated funding in fiscal 2006 for competitive grants and cooperative agreements is approximately \$1.5 million.

Three research areas (listed below) highlight priorities for proposed competitive grants or cooperative agreements. ERS is particularly interested in proposals that use existing cross-sectional or longitudinal data, such as the Early Childhood Longitudinal Study-Birth Cohort (ECLS-B), the Early Childhood Longitudinal Study-Kindergarten Cohort (ECLS-K), the Current Population Survey (CPS), the Survey of Program Dynamics (SPD), the Survey of Income and Program Participation (SIPP), the Panel Study of Income Dynamics (PSID), the Consumer Expenditure Survey (CES), the National Food Stamp Program Survey (NFSPS), the American Community Survey (ACS), the American Time Use Survey (ATUS), or the National Health and Nutrition Examination Survey (NHANES). ERS also is interested in proposals that make creative and innovative linkages between data sets, such as links with administrative data.

The suggested topics and questions discussed below within each Priority Research Area are intended only to stimulate research proposals. Applicants may propose other topics within any Priority Research Area with justification. FANRP has a large inventory of ongoing research projects. Applicants are encouraged to read project descriptions in the *Food Assistance and Nutrition Research Program, Final Report: Fiscal 2005 Activities* or in the FANRP Project Descriptions to avoid duplication. The report and the FANRP Project Descriptions are available on the FANRP website at www.ers.usda.gov/briefing/foodnutritionassistance/. In addition, the site contains information on various data sets available for food and nutrition assistance research at www.ers.usda.gov/briefing/foodnutritionassistance/data/. Applicants may address multiple issues, but must specify one of the three Priority Research Areas below:

I. Economic Incentives in Food Assistance Programs

- A. Program Incentives, Policy Choices, and Economic Impacts
- B. Improving Evaluation Methodology With Administrative Data

II. Food Assistance as a Safety Net

- A. Household Tradeoffs and Well-Being
- B. Filling the Gap or Duplication Efforts

III. Food Choices, Obesity, and Human Capital

- A. Economics of Food Choices of Low-Income Populations
- B. Obesity, Food Security, and Human Capital

I. Economic Incentives in Food Assistance Programs

FANRP is interested in how economic incentives affect the behavior of food assistance program clients and policy officials and how this subsequently affects participation, program effectiveness, and program impacts on local, regional, and national economies.

A. Program Incentives, Policy Choices, and Economic Impacts

1. Interactions With the Economy

The **Food Stamp Program** acts as an automatic stabilizer for the economy, providing support to low-income clients. FANRP is interested in how various public assistance programs interact, the factors that drive participation in multiple programs, and the importance of economic factors relative to policy choices. FANRP also seeks research on estimates of the Food Stamp Program's impact on national, regional, and local economies.

2. Costs and Benefits of Policy Choices—Food Stamp Program

The **Food Stamp Program** is complex. Client benefit levels vary, depending on differences in clients' housing, medical, child care, and other costs. Determining benefits requires a complicated eligibility interview and a burdensome documentation process that occurs at regular intervals. High administrative costs are often justified by the need to maintain program integrity and access. Yet, a balance must be struck between program integrity and program access. FANRP is interested in studies that assess this balance, as well as the costs and benefits of policy choices, and the effects of program targeting on important population subgroups, such as the working poor.

What would be the impacts of adjusting maximum benefit levels to better account for nutritional and food needs? What would be the impacts of adjusting deductions to better account for financial circumstances? Which groups would benefit most from streamlining the benefit formula and which groups, if any, would be disadvantaged? Would a combination of changes reduce administrative burden and minimize losses to clients while still fitting within the current Federal program budget environment?

3. Costs and Benefits of Policy Choices—Child Nutrition and WIC

FANRP is interested in understanding how proposed policy changes in the **School Lunch and Breakfast Programs** affect participation. Identifying which groups would benefit most from proposed policy changes and which groups would be disadvantaged would be an important aspect of such analyses.

Recent changes in **School Lunch and Breakfast Program** regulations have stimulated local school districts to develop a range of new policies affecting foods sold in schools. FANRP is interested in research to improve understanding of the economic factors that influence local policy decisions. It also is interested in research that examines how local policies affect program costs, the decision of individual children to participate in the School Lunch and Breakfast Programs, and participant well-being.

FANRP also is interested in research on the costs and benefits of alternative food procurement, distribution, or delivery systems used by food assistance programs. For example, within the **School Lunch and Breakfast Programs**, what are the costs and benefits of establishing food-buying cooperatives, directly contracting with farmers ("farm-to-school"), using the U.S. Department of Defense procurement system for purchasing fresh fruits and vegetables (DoD Fresh), or outsourcing school meals?



The **WIC** program is facing cost-containment pressures related to the existence of WIC-only stores, rising food prices (such as milk in 2004), and increasing costs of infant formulas. FANRP would like to better understand the new challenges in managing the program and to identify possible market-based or regulatory solutions to these problems. What is the potential for using regulatory incentives or market forces, rather than regulatory rulemaking, to contain costs and/or improve participants' well-being, and what are the tradeoffs? How does WIC affect the economics of breastfeeding decisions, taking into account the positive incentives of breastfeeding promotion, the negative incentives of providing free infant formula, and time constraints on mothers?

B. Improving Evaluation Methodology With Administrative Data

A recent report by the Committee on National Statistics of the National Academy of Sciences recommended better use of administrative data for analysis of food and nutrition policies. FANRP is interested in investigations of the quality of available administrative data, its value for evaluation research, and possibilities for linking to survey data. For the **School Lunch and Breakfast Programs**, examples include the use of administrative data on participation and food purchasing by school food services, alone or linked to survey data. For the **Food Stamp Program**, examples of potentially useful administrative data include Electronic Benefit Transfer (EBT) transaction data and Food Stamp Program quality control data. For WIC, examples include State voucher or EBT redemption data, birth certificate data with WIC and Medicaid participation information, and national WIC Participant and Program Characteristics data. Proposals using nonpublic administrative data must be accompanied by letters of support from appropriate public agencies.

Cafeteria point-of-sale data may be useful in studies of the **School Lunch and Breakfast Programs**, while store scanner data may be a means of assessing impacts in studies of the **Food Stamp Program** and WIC program. Such research should address the validity of the method and its practicality in terms of cost and respondent burden.

II. Food Assistance as a Safety Net

Food assistance programs are an economic safety net, buffering the effects of low income and lack of assets, to protect target populations against income losses and unexpected expenses. FANRP is interested in the ability of the programs to fulfill this role, particularly in households with volatile incomes—single-parent households and households with disabled individual. It also is interested in an examination of how the various food assistance programs complement each other or duplicate efforts, as well as how they interact with the other programs that make up the national safety net, such as Temporary Assistance for Needy Families (TANF), Medicaid, and housing assistance.

A. Household Tradeoffs and Well-Being

1. Income Volatility and Competing Needs

Low, variable, and uncertain income flows create difficult choices among competing needs in low-income households. FANRP is interested in understanding the tradeoffs that households make under these circumstances and the role that food assistance programs play in household budgets and overall well-being. Are food assistance benefits supplanting other sources of assistance and permitting greater expenditures on other household necessities, such as housing, utilities, medical care, or transportation? What is the relationship between disability, food insecurity, and food assistance needs?

2. Household Spending

FANRP is interested in understanding the role of food assistance on spending patterns among different types of households (such as elderly households, households with and without children, single adult households, and households with earnings). It also is interested in whether food stamps and other food assistance benefits reduce income volatility for households. In addition, FANRP is interested in understanding if it matters, in terms of smoothing food consumption and/or expenditures, whether benefits are issued in cash or in-kind or whether they are targeted to individuals or households. FANRP encourages the use of existing survey data—such as SIPP, CPS Food Security Supplement, SPD, and the PSID—in research on these issues.

3. Household Asset Accumulation

To be eligible for the **Food Stamp Program**, potential participants cannot exceed a threshold level of assets. Past program rules restricted participation to clients with financial assets, excluding home ownership, of less than \$2,000 and vehicles worth less than \$4,650. Recent policies allow States to alter the vehicle asset rules of the Food Stamp Program to be consistent with other programs like TANF and Medicaid. States with higher TANF asset limits effectively allow some Food Stamp Program recipients to hold more financial assets. FANRP is interested in how recent policy changes have affected the level and composition of financial, home equity, and vehicular assets of Food Stamp Program participants. Are these differences large enough to raise equity issues across States? Have vehicle policy changes had an impact on incentives to work? Given that home ownership has been shown to protect food security, FANRP also is interested in studies that examine the interactions of food assistance participation, asset holdings, and food security.

4. Time Use

FANRP is interested in research on the dual constraints of time and income. Understanding the tradeoffs that low-income households, particularly households most constrained by time (such as single-parent households), make in balancing work, child care, and household tasks is important to food assistance programs in assessing benefit needs and understanding participation decisions. Tradeoffs for time spent in food shopping, food preparation and cleanup, and eating are of interest as well. The American Time Use Survey (ATUS) is available to examine some of these issues.

B. Filling the Gap or Duplicating Efforts

FANRP is interested in research on how **food assistance programs** complement or duplicate each other and how they relate to other assistance programs that comprise the national social safety net, such as TANF, housing programs, and others. To what extent do the various programs serve different individuals or meet different needs, therefore filling gaps? To what extent do services and benefits overlap? Could program delivery efficiencies be improved by combining some of the programs?

USDA delivers commodities through the **National School Lunch Program**, **Commodity Supplemental Foods Program (CSFP)**, **The Emergency Food Assistance Program (TEFAP)**, **Food Distribution Program on Indian Reservations (FDPIR)**, and other food distribution programs. FANRP is interested in research on the various programs through which commodities are distributed as a part of USDA food assistance, the target population for each distribution channel, the relative efficiency of each distribution channel, and how these programs impact food assistance program participants and the American farmer.



III. Food Choices, Obesity, and Human Capital

The **food assistance programs** are intended to promote the well-being of Americans, particularly low-income Americans, through positive influences on food purchases, food consumption, and health. Program goals for children also include promotion of healthful growth and development. These effects ultimately contribute to lifetime productivity. FANRP is interested in the extent to which the food assistance programs achieve these outcomes.

A. Economics of Food Choices of Low-Income Populations

FANRP is interested in research on how program effects vary depending on the population targeted and the form of benefits offered (funds for food purchases, such as through the **Food Stamp Program**; specific foods, such as through **WIC**; and prepared meals, such as through the **School Lunch and Breakfast Programs**). Also of interest is research on the costs and benefits of greater flexibility in the use of benefits. For example, what are the effects on food availability, choices, and expenditures, on food security, and on participant well-being of being able to use Food Stamp Program benefits to purchase almost any grocery item versus being restricted to purchases of specified nutritious foods? FANRP is interested in the examination of effects of expanding the use of Food Stamp Program benefits to allow for purchases of hot ready-to-eat meals or to allow for payment of transportation to get to food stores. It also is interested in the examination of differences in WIC food redemption patterns when the program is based on coupons versus EBT.

Food choices depend on market factors and prices, program benefits, and consumer preferences. Relevant market factors include the number and kinds of available food stores, the availability and variety of foods sold, food prices, advertising and promotion, shopping convenience, time factors, and urban-rural location. FANRP is interested in research on how these factors explain food choices and expenditures among low-income households and individuals, especially those that participate in **food assistance programs**. FANRP also is interested in understanding the relationship between food expenditures, food choices, and diet quality; the costs of “healthy diets;” and urban-rural differences in these relationships.

1. Obesity, Food Security, and Human Capital

FANRP is interested in research on the impacts of **food assistance program** participation on obesity, food security, health, and developmental outcomes that influence human capital formation. Of particular interest are studies that expand beyond dichotomous measurement of participation to include more detailed measures of service provision, such as timing in receipt of food assistance, duration or length of participation, and amount of benefits. FANRP has funded the addition of data that allow examination of obesity, health, and child developmental outcomes in relation to food security and food assistance program participation to a number of national surveys. Examples include the National Health and Nutrition Examination Survey (NHANES), the Early Childhood Longitudinal Survey-Birth Cohort (ECLS-B), and the Early Childhood Longitudinal Survey-Kindergarten Cohort (ECLS-K). Use of these data sets is encouraged, as is use of longitudinal data.

Eligibility Requirements, Award Types, and Indirect and Other Costs

The Food Assistance and Nutrition Research Program (FANRP) may award competitive grants or cooperative agreements under this announcement. **Applicants need not specify the type of award in their proposal. FANRP reserves the right to determine the type of award.**

The type of award made for a selected proposal will be governed by the nature and degree of involvement desired by FANRP in the project and the type of institution requesting funding (see “Authority,” page 1). In accordance with Federal statutes, the amount of indirect cost ERS will pay is governed by the type of award and the type of institution receiving the award.

Proposals may be submitted by any State agricultural experiment station, college, university, other research institution or organization, Federal, State, or county agencies, private organization, corporation, or individual. Proposals submitted by non-United States organizations will not be considered.

The research proposed must be specifically designed for one of the three Priority Research Areas described previously. Proposals may include requests for conferences that bring together members of the interested research community to identify research needs, update information, or advance an area of research recognized as an integral part of the research effort.

Types of Awards

- **Grants:** Grants will be awarded when the research topic does not require substantial involvement between ERS staff and the recipient during the performance of the award.
- **Cooperative Agreements:** Cooperative agreements will be awarded when the research topic requires more substantial involvement between ERS and the investigator(s). There are two types of cooperative agreements: cooperative research agreements and assistance-type cooperative agreements. In a cooperative research agreement, ERS staff and extramural researchers are close collaborators and contributors to support the research; in an assistance-type cooperative agreement, the extramural researchers are responsible for conducting the greater part of the work on the project. Cooperative research agreements require both parties to contribute to the funding of the project; assistance-type cooperative agreements do not have this joint funding requirement.

Indirect and Other Costs

Federal statutes dictate the amount of indirect costs that ERS pays by type of award and institution. In cooperative research agreements, ERS pays: no indirect costs to State cooperative institutions (i.e., land-grant universities and their constituent schools and departments); the negotiated indirect cost rate not to exceed 10 percent of total direct costs to nonprofit institutions other than State cooperative institutions; and the negotiated indirect cost rate not to exceed the audited rate of any federally recognized audit agency to other institutions. In competitive grants and assistance-type cooperative agreements, ERS pays the negotiated indirect cost rate not to exceed the audited rate of any federally recognized audit agency to State cooperative institutions and institutions other than State cooperative institutions and nonprofit institutions; and the negotiated indirect cost rate (no statutory limitation) to nonprofit institutions other than State cooperative institutions. For reimbursement of indirect costs, the applicant must include a copy of its indirect cost rate schedule with the application. Tuition shall be treated as an allowable cost, subject to negotiation, where reimbursement of such costs is not prohibited by law.



Peer Review of Applications

All proposals received will be acknowledged. If you do not receive an acknowledgment within 30 days of the submission deadline, please contact the FANRP office at (202) 694-5270 or e-mail: FANRP@ers.usda.gov. Prior to technical examination, a preliminary review will be made for responsiveness to the three Priority Research Areas (for example, relationship of the proposal to one of the three research areas and proposed requirements).

Proposals that do not fall within the guidelines as stated in this document will be eliminated from program competition, and the applicant will be notified in writing.

Peer review panels will be convened to review proposals in each research area. All applicants will be notified in writing by October 31, 2006, as to whether their proposal has been accepted for an award by FANRP. Applications submitted through Grants.gov may be monitored online at the website and will also received a written notice from the program office.

Peer review panel members will be selected based upon their training and experience in relevant research or technical fields, taking into account the following factors:

- The level of formal social science or technical education and other relevant experience of the individual as well as the extent to which an individual is engaged in relevant research and other relevant activities;
- The need to include as peer reviewers experts from various areas of specialization within relevant social science or technical fields;
- The need to include as peer reviewers experts from a variety of organizational types (for example, universities, industry, private consultant(s)) and geographic locations); and
- The need to include as peer reviewers individuals with relevant program knowledge and experience.

During the peer evaluation process, extreme care will be taken to prevent any actual or potential conflicts of interest that may have an impact on review or evaluation. Names of submitting institutions and individuals, as well as proposal content and peer evaluations, will be kept confidential.

Evaluation Factors and Criteria

The proposal evaluation process includes peer review panels consisting of experts from academia, government, and the private sector. In addition to reviewers' comments, FANRP's selection process considers coverage of priority research areas, overlap among proposals and ongoing projects, program needs, potential benefits resulting from research collaborations on particular projects, proposed research products, and the availability of funding.

The peer review panel will use the following criteria and weights to evaluate proposals (100 points total):

Research Merit of the Proposal (weight: 35 points)

This criterion is used to assess the conceptual adequacy of the hypothesis or research question, the clarity and delineation of objectives, the adequacy of the description of the undertaking, how the anticipated results will advance policy knowledge and the development and implementation of programs, and the suitability of the proposed research products for ERS publication. Background information should be brief for proposals that address one of the topics described on pages 3-7; a more extensive justification is needed for a proposal with a nonlisted topic.

Overall Approach (weight: 30 points)

This criterion relates to the probability of success of project; time allocated for systematic attainment of objectives; analytic approach; and research design, appropriateness of data, and suitability and feasibility of methodology.

Workplan, Budget, and Cost-Effectiveness (weight: 20 points)

This criterion relates to the extent to which the total budget adequately supports the project and is cost effective. Reviewers will evaluate if the workplan is reasonable and sufficient to ensure timely implementation and completion of the study. The workplan should also provide evidence of the adequacy of available or attainable support personnel, facilities, and instrumentation. When achievement of the workplan requires collaboration, evidence is needed of the adequacy of support from and commitment to cooperation from any collaborative organization.

Key Personnel (weight: 15 points)

This criterion relates to the adequacy of the number and qualifications of the key persons who will carry out the project.



How To Obtain Application Materials

FANRP is using the Internet for primary distribution of information and application materials for its Competitive Grants and Cooperative Agreements Program. The Economic Research Service will accept applications for this program submitted electronically through www.grants.gov. For 2006, applicants may continue to submit paper-copy applications under existing procedures or use electronic submission. Please note that this document, with downloadable Application for Federal Domestic Assistance (SF-424) and budget forms (SF-424A) are available on the FANRP website at www.ers.usda.gov/Briefing/foodnutritionassistance/funding/ and www.grants.gov. Photocopies of materials and the application (SF-424) and budget form (SF-424A) are acceptable. Paper copies also may be requested from:

Tina Terry
FANRP/ERS
1800 M Street, NW, Room N2129
Washington, DC 20036-5831
Telephone: (202) 694-5270
Fax: (202) 694-5677
E-mail: FANRP@ers.usda.gov

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Application Process

Overview

These guidelines are provided to assist you in preparing a proposal to the Competitive Grants and Cooperative Agreements Program of the Food Assistance and Nutrition Research Program. Please read these guidelines carefully before preparing your submission.

A checklist is provided at the beginning of this document to help you provide the necessary information for completing a proposal. An Application for Federal Domestic Assistance Form (SF-424) and a budget form (SF-424A) are required for the proposal, and they may be obtained using the Internet or by requesting a paper copy; contact information is provided on page 11.

Submission Requirements

The purpose of a grant or cooperative agreement proposal is to persuade FANRP and members of the food assistance and nutrition research community who provide advice to FANRP that the proposed project is important, methodologically sound, and worthy of support under the criteria listed on page 10. Therefore, the proposal must be submitted in response to one of the three Priority Research Areas (page 3). The application should be self-contained, should clearly present the merits of the proposed project, and should be written with care and thoroughness. It is important that all essential information for comprehensive evaluation be included. Omissions often result in processing delays and may jeopardize funding opportunities.

In preparing the proposal, applicants are urged to ensure that the name of the Principal Investigator and, where applicable, the name of the submitting institution are included on the Application for Federal Domestic Assistance Form (SF-424).

Format and Contents of Proposals

For electronic submissions through Grants.gov, the proposal and all attachments must be submitted in portable document format (pdf). Using pdf allows applicants to preserve the formatting of their documents. In order to save a document as a pdf, the applicant will need to use pdf generator software. Grants.gov has published the following web page on tools and software that the applicant can use: www.grants.gov/assets/PDFConversion.pdf

Application for Funding Cover Page

Each copy of the proposal must contain an Application for Federal Domestic Assistance Form (SF-424) and be the first page of the application. At least one copy of the form must contain pen-and-ink signatures if submitting by paper or electronic signatures if submitting via Grants.gov.

Instructions for completing the SF-424 are included in the appendix and at: <http://apply.grants.gov/agency/FormLinks?family=6>

In completing this form please include the following program-specific information:

- Item 9. Name of Federal agency. “Economic Research Service, USDA”
- Item 10. Catalog of Federal Domestic Assistance Number. “10.250”;
CFDA Title: “Agricultural and Rural Economic Research”



Table of Contents

A Table of Contents, itself unpaginated, should be placed immediately after the Application for Funding Cover Page. This table should direct the reader to the pages for all sections of the proposal, beginning with the Project Description on page 1.

Project Summary

The proposal must contain a Project Summary, and must be assembled as the third page of the proposal (immediately after the Table of Contents) and should not be numbered. The names and institutions of the Principal Investigator and all co-investigators should be listed on the summary page (if space is insufficient, please use a separate sheet immediately following the Project Summary in the proposal). The Project Summary is limited to 250 words. The summary is not intended for the general reader; consequently, it may contain technical language comprehensible by persons in disciplines relating to the food and agricultural sciences. The project summary should be a self-contained, specific description of the activity to be undertaken and should focus on:

- Overall project goal(s) and supporting objectives; and
- Plans to accomplish project goal(s).

The importance of a concise, informative project summary cannot be overemphasized.

Project Description

The application may not exceed 15 pages (whether single- or double-spaced) of written text and may not exceed a total of 20 pages, including figures and tables. The proposal should be assembled so that the Project Description immediately follows the Project Summary. To clarify page limitation requirements, page numbering for the Project Description should start with 1, and should be placed on the bottom of the page. The 15-page limitation does not include figures, tables, or attachments, such as the survey instrument (if relevant). All proposals are to be submitted on standard 8½" x 11" paper. In addition, margins must be at least 1 inch, type size must be 12 point (equivalent to this size for some printers is 10 pitch or 10 characters per inch, which is also acceptable), there should be no more than six (6) lines per inch, and there should be no page reductions. The project description must contain the following components:

- *Introduction.* A clear statement of the long-term goal(s) and supporting objectives or research questions of the proposed project should be included. The most significant published work in the field under consideration, including the work of key project personnel on the current application, should be reviewed. The current status of research in this field should also be described.
- *Rationale and Significance.* Concisely present the rationale behind the proposed research. The objectives' specific relationship to the potential long-term improvement in the efficiency of USDA's food assistance and nutrition programs should be shown clearly. These purposes are described under Priority Research Areas on page 3. Any novel ideas or contributions that the proposed project offers should also be discussed in this section.
- *Research Methods.* The hypotheses or questions being asked and the methodology being applied to the proposed project should be stated explicitly. Specifically, this section must include:
 - A description of the research proposed in the sequence in which it is to be performed;
 - Techniques to be used in carrying out the proposed project, including the feasibility of the techniques;

- Explanation of data collection methods, including interviewer training, sample design and selection, and measures for obtaining adequate response rates (for proposed projects that plan to collect survey data);
- Results expected;
- Means by which data will be analyzed or interpreted;
- Discussion of relevant variables and of model specification issues (for proposed projects that plan to use multivariate analysis);
- Possible application of results;
- Pitfalls that may be encountered;
- Limitations to proposed procedures;
- A tentative schedule or workplan for conducting major steps of study, including a brief budget narrative; and
- Identification of research reports and outlets.

In describing the research plan, the applicant must explain fully any materials, procedures, situations, or activities that may be hazardous to personnel (whether or not they are directly related to a particular phase of the proposed project), along with an outline of precautions to be taken to avoid or mitigate the effects of such hazards.

Proposed Research Products

All applications must propose an ERS report as an anticipated output. Additional products may include journal articles, other reports, and conference presentations.

Note: The sections detailed below are not included in the page limitations for the Project Description section.

Citations to Project Description

All references cited should be complete, including titles and all co-authors, and should conform to an accepted journal format.

Collaborative Arrangements

If the nature of the proposed project requires collaboration or subcontractual arrangements with other research scientists, corporations, organizations, agencies, or entities, the applicant must identify the collaborator(s) and provide a full explanation of the nature of the collaboration. Evidence (that is, letters of intent) should be provided to assure peer reviewers that the collaborators involved have agreed to render this service.

When a project requests funds for multiple institutions, a lead institution must be designated. Only one proposal may be submitted for the project and only from the lead institution. Other institutions may be designated as subcontractors. Proposals with Application for Funding Cover Pages from more than one institution are not permitted and will be returned without review. Identical proposals submitted by different investigators from different institutions are also not permitted and will be returned without review.

Vitae and Publications List(s)

To assist peer reviewers in assessing the competence and experience of the proposed project staff, all personnel who will be involved in the proposed project must be identified clearly. For the Principal Investigator and each co-investigator listed on the Application for Funding Cover Page, for all collaborators and other senior personnel who expect to work on the project



in a significant fashion (for instance, expectation of co-authorships on ensuing publications) whether or not funds are sought for their support, and for all subcontractors, the following should be included:

- *Curriculum Vitae (CV)*. The curriculum vitae should be limited to a presentation of academic and research credentials, such as educational, employment, and professional history, honors, and awards. The vitae shall be no more than two pages each in length, excluding publications listings; and
- *Publications List(s)*. A chronological list of all publications in refereed journals during the past 5 years, including those in press, must be provided for each professional project member for whom a curriculum vitae is provided. Also list only those non-refereed technical publications relevant to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the title and complete references as these usually appear in journals.

Budget Form (SF-424A)

A summary budget is required detailing requested support for the overall project period, which is not to exceed 3 years. Funding levels accepted are between \$100,000 and \$400,000, inclusive of indirect cost where applicable, for the duration of the project (not to exceed 3 years).

Funds may be requested under any of the budget categories listed, provided that the item or service requested is identified as necessary for successful conduct of the proposed project, allowable under applicable Federal cost principles, and not prohibited under any applicable Federal statute or regulation.

Budget items include:

- Personnel
- Fringe benefits
- Travel
- Equipment
- Supplies
- Contractual
- Other direct costs
- Indirect charges

Salaries of faculty members and other personnel who will be working on the project may be requested in proportion to the effort they will devote to the project.

See page 11 to obtain a paper copy or an electronic copy.

Indirect Cost Rate Schedule

For reimbursement of indirect costs, the applicant must include with the application a copy of its indirect cost rate schedule that reports the applicant's federally negotiated audited rate.

Current and Pending Support

The information in this section of the proposal provides reviewers with an opportunity to evaluate the contribution the proposed work will make to the investigators' overall research program.

The proposal must list any other current public or private research support (including in-house support) to the Principal Investigator or co-investigators, whether or not salary support for the person(s) involved is included in the budget. FANRP must be informed of changes in pending

grant support that arise after the proposal has been submitted. Nonflexible funds—including Principal Investigator and support staff salaries, office space, and other indirect costs—may be excluded when these funds are received through a noncompetitive process. Analogous information must be provided for any pending proposals, including this proposal, that are now being considered by, or that will be submitted in the near future to, other possible sponsors, including other USDA programs or agencies. Note that this proposal must be listed as Pending. In addition to completing the information, Investigators also should include a brief statement of research objectives or project summaries for all projects listed in Current and Pending Support. Concurrent submission of identical or similar proposals to other possible sponsors will not prejudice proposal review or evaluation by the Program Manager or experts engaged by the Program Manager for this purpose. However, a proposal that duplicates or overlaps substantially with a proposal already reviewed and funded (or that will be funded) by FANRP will not be funded under this program.

Please include the following information under the heading “Current and Pending Support”:

- Record information for active and pending projects in separate sections by name, supporting agency, total funding amount, effective and expiration dates, percentage of time committed, and title of project.
- All current research to which the Principal Investigator, co-investigators, and other senior personnel have committed a portion of their time must be listed, whether or not salary for the person involved is included in the budgets of the various projects.

Additions to Project Description

Each project description is expected to be complete without the need to refer to additional materials. However, additions to the Project Description (appendices) are allowed if they are directly germane to the proposed research. These may include reprints (papers that have been published in peer-reviewed journals) or preprints (manuscripts in press for a peer-reviewed journal must be accompanied by letter of acceptance from the publishing journal).

Manuscripts sent in support of the proposal should be single-spaced and printed on both sides of the page. Each manuscript must be identified with the name of the submitting organization, the name of the Principal Investigator, and the title of the proposal, and be securely attached to each copy of the proposal. Staff of FANRP will not collate applicant proposals or proposal addenda.

Information may not be appended to a proposal to circumvent page limitations prescribed for the project description. Extraneous materials will not be used during the review process.

What/When/Where To Submit

To submit an application electronically, log onto Grants.gov (www.grants.gov) and follow the instructions. For paper submissions, an original and 12 copies of the application are required. Due to the volume of proposals that are expected and the difficulty in identifying proposals submitted in several packages, all copies of each proposal must be mailed in a single package. In addition, please ensure that each copy of the proposal is stapled securely in the upper left-hand corner.

Every effort should be made to ensure that the proposal contains all pertinent information when originally submitted. Prior to mailing, it is urged that the proposal be compared with the checklist on the inside front cover of this announcement.



To ensure prompt receipt of submitted proposals, use First Class or Express mail, or a courier service. To be considered for funding this fiscal year, proposals (an original and 12 copies) must be transmitted by May 22, 2006 (as indicated by postmark or date on courier bill of lading). Late proposals will not be considered. Electronic or fax submissions will not be accepted.

Address for Submitting Proposals:

Economic Research Service, USDA
FANRP Business Office
1800 M Street, NW, Room N2129
Washington, DC 20036-5831

Reminder: Applications must be mailed by May 22, 2006

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Post-Award Administration

FANRP reserves the right to negotiate with the Principal Investigator or project director and/or with the submitting organization or institution regarding project revisions (for example, reductions in the scope of work), funding level, or period or method of support prior to recommending any project for funding.

A proposal may be withdrawn by the Principal Investigator at any time before a final funding decision is made regarding the proposal; however, withdrawn proposals normally will not be returned. One copy of each proposal that is not selected for funding (including those that are withdrawn) will be retained by FANRP for a period of one (1) year. The remaining copies will be destroyed.

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Duration of Awards

The total period for which a grant or cooperative agreement is awarded may not exceed 3 years.

Management Information

Once a grant or cooperative agreement has been reviewed and recommended for funding, specific management and organizational information relating to the applicant shall be requested on a one-time basis prior to the award. Copies of forms needed in fulfilling the requirements will be provided by the FANRP office.

Notice of Award

A competitive grant or cooperative agreement award document, containing the budget, terms and conditions of the award, and other necessary information, will be prepared and forwarded to each grantee or cooperator, along with a Notice of Competitive Grant or Cooperative Agreement Award, by the Administrative and Financial Management, ARS, USDA.

Financial Obligations

For any competitive grant or cooperative agreement awarded, the maximum financial obligation of ERS shall be the amount of funds authorized for the award. This amount will be stated on the award instrument and on the approved budget. However, in the event an erroneous amount is stated on the grant award instrument, the approved budget, or any supporting document, ERS reserves the unilateral right to make the correction and to make an appropriate adjustment in the amount of the award to align with the authorized amount.

Nothing in these guidelines or any program announcement shall obligate ERS, the Department, or the United States to take favorable action on any application received in response to any announcement, or to support any project at a particular level. Further, neither the approval of any application nor the award of any project grant or cooperative agreement shall commit or obligate the United States in any way to make any renewal, supplemental, continuation, or other award with respect to any approved application or portion of an approved application.

Awardees will be required to ensure that all funds are expended in accordance with the terms and conditions of grant or cooperative agreement award, Departmental regulations, and the applicable Federal cost principles in effect on the date of the award. Responsibility for the use and expenditure of grant or cooperative agreement funds may not be transferred or delegated in whole or in part to another party (even if a grantee or cooperator enters into a contractual relationship with that party), unless the grant or cooperative agreement itself is transferred in whole or in part to another party by ERS.

Authorization to make changes in approved project plans, budget, period of support, etc., will be governed largely by the terms and conditions of the competitive grant award or cooperative agreement. Among other things, these terms and conditions will set forth the kinds of post-award changes that may be made by the awardee and the kinds of changes that are reserved to the FANRP Office. It is urged that all key project personnel and authorized organizational representatives read them carefully.

Release of Information

ERS receives grant and cooperative agreement proposals in confidence and will protect the confidentiality of their contents to the extent permitted by law. When a proposal results in a grant or cooperative agreement, however, it becomes part of the public record and is available to the public upon written request. Copies of proposals (including excerpts from proposals) that are not funded will not be released. Information regarding funded projects will be made available to the extent permitted under the Freedom of Information Act, the Privacy Act, and implementing USDA regulations.

Requests to obtain authorized information (and fee schedule relating to the handling of this information) or to obtain information regarding procedures related to release of grantor cooperative agreement information should be directed to the Freedom of Information Act (FOIA) Coordinator, ARS Information Staff, 5601 Sunnyside Ave., Bldg. 1, Rm. 2248, Mail Stop 5128, Beltsville, MD 20705-5128; telephone (301) 504-1640.

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Appendix A: Application for Federal Domestic Assistance Form (SF-424) and Instructions

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APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:		Organizational Unit:	
Organizational DUNS:		Department:	
Address:		Division:	
Street:		Name and telephone number of person to be contacted on matters involving this application (give area code)	
City:		Prefix:	First Name:
County:		Middle Name	
State: Zip Code		Last Name	
Country:		Suffix:	
		Email:	

6. EMPLOYER IDENTIFICATION NUMBER (EIN):
 -

8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>	7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify) <input type="text"/>
9. NAME OF FEDERAL AGENCY:	

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
TITLE (Name of Program):	

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. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:
b. Applicant \$.00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372
c. State \$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d. Local \$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
e. Other \$.00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No
f. Program Income \$.00	
g. TOTAL \$.00	

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

a. 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: <ul style="list-style-type: none"> • "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.		

**Appendix B: Budget Form
(SF-424A) and Instructions**

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BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

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

7. Program Income	\$	\$	\$	\$	\$
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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 - FORECASTED 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

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(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

Public reporting burden for this collection of information is estimated to average 180 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 (0348-0044), 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.

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 latter 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 Column (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 (1) 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.

Line 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

INSTRUCTIONS FOR THE SF-424A (continued)

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.