



Food Assistance and Nutrition Research Program

Fiscal 2007

Competitive Grants and Cooperative Agreements Program

Description and Application Process



Economic Research for a Healthy, Well-Nourished America



**Food Assistance & Nutrition
Research Program**

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 21, 2007. 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 2007. 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 \$2 million in fiscal 2007 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 may want to consider ERS's RIDGE Program. See the FANRP website at www.ers.usda.gov/briefing/foodnutritionassistance/funding/ridge for more information.

For 2007, 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 "Apply for Grants" 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 2007 (P.L. 110-5). 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 Programs), 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 Agricultural and Rural Economic Research.



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 2007 for competitive grants and cooperative agreements is approximately \$2 million. Funds awarded through this announcement cannot be used to support demonstration projects or provide benefits, but can support evaluations and other studies of demonstration and pilot projects.

Three research areas (listed below) highlight priorities for proposed competitive grants or cooperative agreements. The suggested topics and questions discussed below within each Priority Research Area are intended to stimulate research proposals. Applicants may propose other policy-relevant topics with justification. For example, FANRP is interested in timely studies that can inform the upcoming 2009 reauthorization of WIC and the child nutrition programs.

ERS encourages proposals that use existing cross-sectional or longitudinal data, such as the Consumer Expenditure Survey (CEX); the School Health Policies and Programs Study (SHPPS); Nielsen Homescan Consumer Panel Survey;¹ the School Nutrition Dietary Assessment Study (SNDA) III; the ERS Food Stamp Program Access Study Data Set;² 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 National Food Stamp Program Survey (NFSPS); the National Sample of Food Stamp Program Electronic Benefit Transfer (EBT) Transactions, 2003; the Food Stamp Program State Policy Database, 1996-2004; 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 enhancements to existing data sets, such as linkages with administrative data and improvements in measuring factors related to dietary behavior and/or other factors relevant to food assistance program outcomes. More information on various data sets available for food and nutrition assistance research can be found at www.ers.usda.gov/briefing/foodnutritionassistance/data/.

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 2006* 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/.

Suggested priority research areas are:

I. Food Choices: Economic Determinants and Consequences

- A. Economic Determinants of Food Choices of Low-Income Populations
- B. Economic and Health Consequences of Food Choices

¹ERS has acquired the Nielsen Homescan data for the years 1998 through 2005. Because the data are owned by Nielsen and are proprietary, use of the data is subject to the terms and the conditions of the contract under which the information was purchased. The contract limits the use of the data to issues of interest to the Department, and allows sharing the data with external researchers when, as third-party consultants, the external researchers carry out the work of the Department. USDA-funded research agreements, therefore, can use these data subject to the terms of the contract.

²Public-use data from surveys conducted by Abt Associates in 2000 for the Food Stamp Program Access Study are available from ERS by special request. For a description of the data, see Chapter 2 in the publication E-FAN-03013-3 found on the ERS website at www.ers.usda.gov/publications/efan03013/efan03013%2D3/.

II. Economic Incentives in Food Assistance Programs

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

III. Food Assistance as an Economic Safety Net

- A. Basic Needs, Tough Choices
- B. Filling the Gap or Duplicating Efforts

I. Food Choices: Economic Determinants and Consequences

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, diet, and health. Program goals for children also include promoting healthful growth, development, and learning, which ultimately contribute to lifetime productivity. FANRP is interested in the extent to which the food assistance programs achieve these outcomes.

A. Economic Determinants of Food Choices of Low-Income Populations

1. Price, Income, and Market Effects

Food choices depend on household income, consumer preferences, and program benefits, as well as prices and other market factors. FANRP is interested in developing better estimates of price, expenditure, and income elasticities for food choices of low-income populations. FANRP also is interested in effects on food choice of relevant market factors, including the number and kinds of stores where food can be bought, the availability and variety of foods sold, advertising and promotion, shopping convenience, time factors, and urban-rural location. 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.

2. Effects of Benefit Form

FANRP is interested in research on how program effects vary depending on the population or subpopulation targeted and the form of benefits offered (funds for food purchases, such as through the **Food Stamp Program**; vouchers for specific foods, such as through **WIC**; prepared meals, such as through the **National School Lunch** and **School Breakfast Programs**, and commodity foods, as made available through several USDA programs). For example, what are the effects on food availability, choices, expenditures, food security, and participant well-being of changes in benefit form? Examples of changes in benefit form are those that either limit (e.g., by restricting types of foods allowed for purchase), expand (e.g., by allowing purchase of hot, prepared foods), or target (e.g., by providing additional coupons or vouchers for specific targeted foods, such as fruits and vegetables) benefits.

FANRP is interested in examining the effects of innovative approaches to delivering **Food Stamp Program** benefits. Such approaches include the expanding the use of food stamps to purchase hot, ready-to-eat meals and to pay for transportation to foodstores and/or for home delivery of foods; using special coupons, bonuses, or vouchers for purchase of specific foods, such as fruits and vegetables; and allowing participants to elect to have benefits delivered on a weekly, biweekly, or monthly schedule. Studies could examine costs and benefits for **Food Stamp Program** participants as a whole or for specific subgroups, such as the working poor, the disabled, or the elderly. FANRP also is interested in examining differences in **WIC** food redemption patterns when program benefits are distributed via coupons versus Electronic Benefit Transfer (EBT). Although FANRP cannot fund demonstration project activities, it is interested in supporting evaluations of demonstration projects that test innovative approaches to benefit delivery. Use of data exploiting State variations in program delivery, administrative data, or other approaches is encouraged.



3. Evaluating Strategies for Promoting Healthful Food Choices

USDA food assistance programs seek to improve food choice via nutrition education. In recent years, the department has substantially increased its investment in nutrition education for the **Food Stamp Program** target population. FANRP is interested in research to evaluate the success of such efforts and/or to develop better evaluation measures and methodologies.

In addition, behavioral economics and consumer psychology research suggest food choices are affected by self-control, habitual strategies for mental accounting, and situational factors, such as stress, visual and sensory stimuli, presentation of choices, and food package or serving sizes. FANRP is interested in research examining how those concepts can be used by food assistance programs to improve food choices of program participants. Because several behavioral economics concepts have not been measured and tested in the food consumption domain, FANRP is interested in proposals for formative research in the area.

4. Time as an Economic Resource

FANRP is interested in research on how the dual constraints of time and income affect food-related behaviors, health, and well-being. 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. Research examining tradeoffs for time spent in food shopping, food preparation and cleanup, and eating is encouraged. Also of interest are studies of the effects of time use decisions on weight status, food security, and other aspects of well-being related to food consumption, diet, and health. The American Time Use Survey (ATUS), which includes data on time use of a representative sample of American adults, is available to examine some of these issues. A new module developed and funded by ERS that includes self-reported height and weight, along with selected information on eating behavior, will be available in fall 2007. Information on the module and the questions it includes is available on the ERS website at <http://www.ers.usda.gov/Emphases/Healthy/ATUS/>.

B. Economic and Health Consequences of Food Choices

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 Study-Birth Cohort (ECLS-B), the Early Childhood Longitudinal Study-Kindergarten Cohort (ECLS-K), and the Child Development Supplement of the Panel Study of Income Dynamics (PSID). Use of these data sets is encouraged, as is use of other longitudinal datasets.

II. Economic Incentives in Food Assistance Programs

FANRP is interested in how economic incentives affect the behavior of food assistance program clients, program providers, 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

Food assistance programs interact with the economy. That is, economic conditions affect participation in and expenditures on food assistance programs through their influence on (1) the size of the eligible population, (2) the rate of participation among eligible people, and (3) benefit levels. For example, the number of **Food Stamp Program** recipients typically rises when unemployment and poverty increases and falls when unemployment and poverty decline. However, questions have been raised about the timing and magnitude of the relationship between food stamp caseloads and the unemployment rate. FANRP is interested in research that addresses this issue.

Food assistance programs also affect the economy by increasing household income and generating demand for food and farm products. Changes in food assistance policy can have impacts on economic activity and household income across the economy and in various industry sectors and markets. FANRP seeks research exploring these issues.

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

The **Food Stamp Program** is complex. Client benefit levels vary, depending on income, household size, and allowable deductions for 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 and client burden are often justified by the need to maintain program integrity. 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.

State and local officials have recently implemented policy options intended to reduce client burden. Studies that take advantage of this State-to-State variation in policy adoption would be of interest. Survey data from a 2000 FANRP-sponsored study on **Food Stamp Program** access and a State policy database for 1996-2004 are available for analysis of some of these issues, but studies using alternative data, such as the Food and Nutrition Service's Quality Control database, are of interest as well.

The benefit formula for the **Food Stamp Program** embodies many assumptions about how households allocate income to food. FANRP is interested in studies that examine how the various policy parameters embedded in the formula relate to current food spending patterns. Are the **Food Stamp Program** maximum benefits and the minimum benefit for one- and two-person households reasonable? Is a 30-percent benefit reduction rate on net income appropriate? Are the deductions and caps suitable? What would be the costs and benefits of changing components of the formula?

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

USDA's child nutrition programs, including the **National School Lunch** and **School Breakfast Programs**, the **Summer Food Service Program**, and the **Child and Adult Care Food Program**, provide meals and snacks to millions of American children each day. The reauthorization of these programs in 2004 resulted in several policy changes, including the requirement that local school districts develop wellness policies covering foods sold at school, nutrition education, and physical activity. New policy proposals are now under discussion; examples include changes in USDA meal program regulations to conform to 2005 Dietary



Guidelines and MyPyramid recommendations and changes in food procurement and service that promote increased consumption of fruits and vegetables.

FANRP is interested in understanding the effects of current child nutrition program policies and the potential effects of proposed policy changes on program participation, outcomes, and costs. Identifying which groups would benefit most from proposed policy changes and which groups would be disadvantaged would be an important aspect of such analyses. National data sets that may be useful for examining issues relevant to school policies include the Early Childhood Longitudinal Study-Kindergarten Cohort (ECLS-K), and the School Health Policies and Programs Study (SHPPS).

Also of interest is how incentives can affect adoption of policies and practices at the State and local level. In particular, the requirement for school wellness policies has 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. For example, what incentives and disincentives affect local policy decisions? FANRP also is interested in research that examines how local policies affect program costs, the decision of individual children and their families to participate in the **National School Lunch** and **School Breakfast Programs**, and associations of local policies with consumption, plate waste, and other indicators of program outcomes.

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 **National School Lunch** and **School 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? How does use of such alternatives influence program success in encouraging consumption of healthful foods, such as fruits and vegetables, and discouraging plate waste?

The **WIC** program is facing cost-containment pressures related to the costs of providing nonfood services—such as nutrition education, breastfeeding promotion, and referrals—to its participants. Policy choices that address cost-containment pressures would be informed by better understanding the costs and benefits, to both the program and participants, of such activities. FANRP is interested in studies of how nonfood spending has changed over time and the effect of expenditures on the various **WIC** program components on program outcomes. For example, do increased referrals or greater spending on nutrition education translate into improved program outcomes?

Breastfeeding is recommended for optimizing both immediate and long-term health of infants. How does **WIC** affect the economics of breastfeeding decisions, taking into account the positive influence of breastfeeding promotion, the negative incentives of providing free infant formula, and time constraints on mothers? What are the full costs to **WIC** State and local agencies associated with promoting breastfeeding (including the value of benefits to the breastfeeding mother-child dyad), compared with the costs of providing infant formula (including the value of benefits to the nonbreastfeeding mother-child dyad, as well as the value of infant formula rebates)?

Given that the demographics of **WIC** participants have changed considerably in the past two decades—for example, Hispanics now represent the largest racial/ethnic group in **WIC**—FANRP is interested in understanding how these changes affect program operations and outcomes. FANRP is also interested in understanding how **WIC** participation affects women’s health and behaviors in the postpartum period and beyond. For example, compared with

women who do not participate in **WIC**, do women who participate in **WIC** return to their pre-pregnancy weight faster, smoke less, have lower rates of obesity or anemia, or have better outcomes in future pregnancies?

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 **National School Lunch** and **School 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 EBT transaction data and **Food Stamp Program** quality control data. For **WIC**, examples include State voucher or EBT redemption data, birth certificate data containing **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 **National School Lunch** and **School Breakfast Programs**, while store scanner data may be a means of assessing impacts of the **Food Stamp Program** and **WIC**. Such research should address the validity of the method and its practicality in terms of cost and respondent burden.

Evaluations of **WIC** outcomes often require linking **WIC** administrative data with birth registry data. However, there is concern about misreporting of **WIC** status on birth certificates. FANRP is interested in understanding the magnitude of misreporting, the types of misreporting—is it mainly **WIC** participants not reporting their **WIC** status, or non-**WIC** participants claiming **WIC** status—and the characteristics and birth outcomes of those who misreport their **WIC** status compared with those who accurately report their **WIC** status.

III. Food Assistance as an Economic 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 effectiveness of these programs as economic safety nets, particularly in households with volatile incomes, such as those of the working poor. FANRP also is interested in how food assistance programs interact, the factors that drive participation in multiple programs, and the importance of economic factors relative to participation choices. In addition, FANRP is interested in how USDA food assistance programs interact with the other types of assistance programs that comprise the national economic safety net.

A. Basic Needs, Tough Choices

1. Income and Spending Volatility

Low 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 well-being. How does food assistance affect the level and stability of spending patterns of different types of households (such as elderly households, households with and without children, single adult households, and households with earnings)? Do food stamps and other food assistance benefits reduce income volatility for participants? How much additional food spending would it take to reduce food insecurity by some measurable proportion and what would that imply for food assistance programs? Does it matter, 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?



2. Special Needs of Vulnerable Groups

Elderly and disabled people may have mobility limitations or other disabilities that create barriers—distinct from limited financial resources—to healthy diets. Some of these special needs may be met by home-delivered meals programs (“Meals on Wheels”), the **Commodity Supplemental Food Program (CSFP)**, and/or other existing programs. As the elderly become a larger proportion of the population, it will be important to know to what extent existing programs can meet these special food-related needs. Households with disabled members or members suffering from depression may have different needs because, unlike their elderly counterparts, they have been shown to be at higher risk for food insecurity. FANRP is interested in research that identifies, describes, and quantifies the extent of special needs among these vulnerable groups and assesses how adequately existing programs meet those needs.

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 Temporary Assistance for Needy Families (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?

Examples would include interaction of **WIC** with Medicaid and effectiveness of **WIC** referral services in linking participants to other social and health services. Another example would be investigation of how the **Summer Food Service Program** or the **After-School Snack Program** complement school meal programs to provide a safety net for low-income children and their households—do programs complement each other to provide a more secure safety net? Could programs be better integrated to avoid gaps in service? Also of interest would be examination of how **WIC** and the **Child and Adult Care Food Program (CACFP)** interact to support low-income households with preschool-aged children. Longitudinal data sets, such as the Early Childhood Longitudinal Study-Birth Cohort (ECLS-B) and the Early Childhood Longitudinal Study-Kindergarten Cohort (ECLS-K), which contain information on participation in multiple USDA food assistance programs, as well as food security information, may be useful in addressing some of these questions.

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, 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.

A substantial proportion of food-insecure households report that they do not participate in Federal or community food assistance programs. Reasons for this phenomenon are not well understood. FANRP is interested in knowing more about factors that contribute to nonparticipation of households with unmet food needs, as well how characteristics of these households contrast to those of participating households. Food-insecure households that participate in neither Federal nor community food assistance programs are of particular interest. Data to address these questions are available in the Survey of Program Dynamics.

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.

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 Applica- tions

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) 694-5466 or e-mail: FANRP@ers.usda.gov. Prior to technical examination, a preliminary review will be made for meeting proposal eligibility 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, 2007, 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 3-9; 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. The proposal should provide an explanation and justification for any large or unusual expenditures. 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. It also relates to their time committed to this project and to their availability.



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 2007, 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/comprgrants.htm 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:

David Smallwood
FANRP/ERS
1800 M Street, NW, Room N2130
Washington, DC 20036-5831
Telephone: (202) 694-5466
Fax: (202) 694-5677
E-mail: FANRP@ers.usda.gov



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 13.

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 12. 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 Grant.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/resources/download_software.jsp.

The Standard Application for Funding Cover Page (SF-424)

Each copy of the proposal must contain an Application for Federal Domestic Assistance (SF-424) and be the first page of the application package. 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. Electronic copies of the form and general instructions are available at www.ers.usda.gov/Briefing/foodnutritionassistance/compgrants.htm.

A sample and general instructions for completing the proposal coversheet, SF-424, are found in appendix A. Instructions specific to this announcement are provided on p. 15.



Specific instructions for SF-424

Item	Specific instruction
1 Type of Submission	Check "Application"
2 Type of Application	Check "New"
3 Date Received	Leave blank
4 Applicant Identifier	Leave blank
5 a & b Federal Identifiers	Leave blank
6 & 7 State Use Only	Leave blank
8-9	Complete using general instructions (appendix A)
10 Name of Federal Agency	Enter "Economic Research Service, USDA"
11 Catalog of Federal Domestic Assistance Number	Enter "10.250"
CDFA Title	Enter "Agricultural and Rural Economic Research
12 Funding Opportunity Number	Enter "FANRP2007001"
Funding Opportunity Title	Enter "Food Assistance and Nutrition Research Program Fiscal 2007 Competitive Grants and Cooperative Agreements Program"
13-14	Leave blank
15-18	Complete using general instructions (appendix A)
19	Check "c"
20-21	Complete using general instructions (appendix A)

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 beginning 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 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.

Standard 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.

Electronic copies of the standard budget form and general instructions are available at www.ers.usda.gov/Briefing/foodnutritionassistance/compgrants.htm. A sample and general instructions for completing the proposal budget form are found in appendix B.

Specific instructions for SF-424A

Item	Specific instruction
1(a) Grant Program Function or Activity	Enter "FANRP"
1 (b) Catalog of Federal Domestic Assistance Number	Enter "10.250"
1(c),(d),(f)	Leave blank
1(e), 1(g)	Enter amount of Federal funds requested
2-4	Leave blank
5(b),(c),(d), (f)	Leave blank
5(e), (g)	Enter amount of Federal funds requested
6 a-k (columns 1 and 5)	Allocate Federal funds requested to appropriate budget categories
6-a-k (columns 2-4)	Leave blank
7-20	Leave blank
21-23	Optional

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 nonelectronic submitted proposals, use First Class or Express mail, or a courier service. To be considered for funding this fiscal year, proposals must be transmitted by May 21, 2007 (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
Attn: David Smallwood
FANRP Business Office
1800 M Street, NW, Room N2129
Washington, DC 20036-5831

Reminder: Applications must be mailed by May 21, 2007



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.

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.



**Appendix A: Application for Federal Domestic
Assistance Form (SF-424) and General Instructions**
(See page 15 for specific instructions)



Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

- A
- B
- C
- D
- E
- F
- G
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- XO
- XP
- XQ
- XR
- XS
- XT
- XU
- XV
- XW
- XX
- XY
- XZ
- YA
- YB
- YC
- YD
- YE
- YF
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- ZU
- ZV
- ZW
- ZX
- ZY
- ZZ

* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County:

* State:

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

Fax Number:

* Email:

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina’s 103 rd district. • If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. 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.

	<p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? 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. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</p>																								
	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. 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. If yes, include an explanation on the continuation sheet.</p>																								
	<p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, (if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this applicat (required), organizational affiliation (if affiliated with an organization other on: Enter the name (First and last name than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="134 846 894 1434"> <tr> <td data-bbox="134 846 537 873">A. State Government</td> <td data-bbox="537 846 894 873">M. Nonprofit</td> </tr> <tr> <td data-bbox="134 873 537 900">B. County Government</td> <td data-bbox="537 873 894 900">N. Nonprofit</td> </tr> <tr> <td data-bbox="134 900 537 947">C. City or Township Government</td> <td data-bbox="537 900 894 947">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="134 947 537 974">D. Special District Government</td> <td data-bbox="537 947 894 974">P. Individual</td> </tr> <tr> <td data-bbox="134 974 537 1001">E. Regional Organization</td> <td data-bbox="537 974 894 1043">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="134 1001 537 1029">F. U.S. Territory or Possession</td> <td data-bbox="537 1043 894 1071">R. Small Business</td> </tr> <tr> <td data-bbox="134 1029 537 1115">G. Independent School District</td> <td data-bbox="537 1071 894 1115">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="134 1115 537 1184">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="537 1115 894 1184">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="134 1184 537 1253">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="537 1184 894 1253">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="134 1253 537 1323">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="537 1253 894 1323">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="134 1323 537 1350">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="537 1323 894 1392">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="134 1350 537 1419">L. Public/Indian Housing Authority</td> <td data-bbox="537 1392 894 1419">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Nonprofit	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)		
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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.