

Department of Health and Human Services

*Centers for Medicare & Medicaid Services
Center for Medicare & Medicaid Innovation*

***Grants to Support the Historically Black Colleges and Universities
Health Services Research Grant Program***

New Announcement

Catalog of Federal Domestic Assistance (CFDA) No. 93.779

Fiscal Year 2014

**Funding Opportunity Number: CMS-110-14-001
Competition ID: CMS-110-14-001-049615**

Grants.gov Application Due Date: July 18, 2014

Letter of Intent Due Date: June 25, 2014

Anticipated Award Date: September 30, 2014

Project/Budget Period: 24 Months

Authority: *Section 1110 Social Security Act*

OVERVIEW INFORMATION

Agency Name:

U.S. Department of Health and Human Services
Centers for Medicare & Medicaid Services
Center for Medicare & Medicaid Innovation

Funding Opportunity Announcement (FOA) Title: Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program

Announcement Type: New Announcement

Funding Opportunity Number: CMS-110-14-001

Competition ID: CMS-110-14-001-049615

Catalog of Federal Domestic Assistance (CFDA) Number: 93.779

Key Dates

Application Due Date: July 18, 2014

Letter of Intent Due Date: June 25, 2014

Anticipated Notice of Award: September 30, 2014

Anticipated Period of Performance: 24 Months

TABLE OF CONTENTS

Contents

I. FUNDING OPPORTUNITY DESCRIPTION:	5
1. Purpose	5
2. Authority	5
3. Background	6
4. Program Requirements	6
5. Technical Assistance	9
II. AWARD INFORMATION:	9
1. Total Funding	9
2. Award Amount	9
3. Anticipated Award Date	9
4. Period of Performance	9
5. Number of Awards	9
6. Type of Award	10
7. Termination of Award	10
III. ELIGIBILITY INFORMATION	10
1. Eligible Applicants	10
2. Cost Sharing/Matching	11
3. Foreign and International Organizations	11
4. Faith Based Organizations	11
IV. APPLICATION AND SUBMISSION INFORMATION	11
1. Address to Request Application Package	11
2. Content and Form of Application Submission	15
3. Submission Dates and Times	19
4. Intergovernmental Review	20
5. Funding Restrictions	20
V. APPLICATION REVIEW INFORMATION	20
1. Criteria	20
2. Review and Selection Process	24
3. Anticipated Announcement and Award Dates	24
VI. AWARD ADMINISTRATION INFORMATION	25
1. Award Notices	25
2. Administrative and National Policy Requirements	25
3. <i>Terms and Conditions</i>	26
4. Reporting	26
5. Federal Financial Report	26
6. Transparency Act Reporting Requirements	27
7. Audit Requirements	27

8. Payment Management Requirements	27
VII. AGENCY CONTACTS	27
VIII. OTHER INFORMATION	28

I. FUNDING OPPORTUNITY DESCRIPTION:

1. Purpose

The Centers for Medicare & Medicaid Services (CMS) is announcing the availability of funds under this grant program to assist Historically Black Colleges and Universities (HBCUs) in conducting health services and health disparities research for 2014. The purpose of the grant program is to support researchers in implementing health services research activities to meet the needs of diverse CMS beneficiary populations. The goals of the grant program are to: 1) encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and Children Health Insurance Programs (CHIP); 2) assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries; 3) assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American communities; 4) increase the pool of HBCU researchers capable of implementing the research, demonstration, and evaluation activities of CMS; 5) promote research that will be aimed at developing a better understanding of health care services pertaining to African Americans; and 6) assist in fostering inter-university communication and collaboration regarding African American health disparity issues.

2. Authority

This grant program is under the authority of Section 1110 of the Social Security Act and is consistent with Executive Order 13532 - White House Initiative on HBCUs, Promoting Excellence, Innovation, and Sustainability at HBCUs. The Initiative is housed in the Department of Education. It directs executive departments, agencies, and offices, the private sector, educational associations, philanthropic organizations, and other partners to increase the capacity of HBCUs to provide the highest-quality education to a greater number of students, and to take advantage of these institutions' capabilities in serving the Nation's needs through the following five core tasks: 1) strengthening the capacity of HBCUs to participate in Federal programs; 2) fostering private-sector initiatives and public-private partnerships while promoting specific areas and centers of academic research and programmatic excellence throughout HBCUs; 3) improving the availability, dissemination, and quality of information concerning HBCUs to inform public policy and practice; 4) sharing administrative and programmatic practices within the HBCU community; and 5) exploring new ways of improving the relationship between the Federal Government and HBCUs.

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

3. Background

The Centers for Medicare & Medicaid Services (CMS) is announcing the availability of funds under this grant program to assist Historically Black Colleges and Universities (HBCUs) in conducting health services research in Fiscal Year 2014. This announcement seeks competitive applications for small applied research projects that relate to identifying and evaluating solutions for eliminating health disparities among the African American population. Additionally, the project should enhance the capacity of HBCUs to successfully compete for CMS research and program funds in the future. HBCUs are expected to become involved in the design, implementation, and operation of research projects that address health care issues such as financing, delivery, access, quality, and barriers affecting the African American community. CMS is seeking these types of research projects because of its belief that HBCUs play a pivotal role in finding solutions to the many difficult health issues that have a significant impact on the health of African Americans. The unique expertise, knowledge, reputation, and sensitivity that HBCU investigators can bring to the design, implementation, and operation of such research will be a key to advancing the national, state and local agenda of eliminating health disparities.

The President's Board of Advisors on HBCUs supports strengthening the educational capacity of HBCUs through various mechanisms. This grant program is consistent with the Executive Order - White House Initiative on HBCUs, Promoting Excellence, Innovation, and Sustainability at HBCUs. Each executive department and agency designated by the Secretary of Education shall prepare an annual plan (agency plan) of its efforts to strengthen the capacity of HBCUs through increased participation in appropriate Federal programs and initiatives. Each agency plan shall propose efforts to: 1) establish how the department or agency intends to increase the capacity of HBCUs to compete effectively for grants, contracts, or cooperative agreements and to encourage HBCUs to participate in Federal programs; 2) identify Federal programs and initiatives in which HBCUs may be either underserved or underused as national resources; and 3) encourage public-sector, private-sector, and community involvement in improving the overall capacity of HBCUs. CMS's HBCU Health Services Research Grant Program complies with the Executive Order. This program is one strategy to increase the participation, promotion, and professional development of HBCU investigators in health services, health disparities, and health equity research.

CMS is committed to developing a partnership with HBCUs to achieve the goals of the President's Executive Order. CMS wants to ensure that HBCUs receive opportunities to compete for its extramural research funds and gain a better understanding of its research interests. This announcement is related to the priority area of CMS's research programs for health care and financing issues in the African American community. The announcement meets the Healthy People 2020 goal of eliminating disparities and addresses the Healthy People 2020 focus area of health communication.

4. Program Requirements

The purpose of this announcement is to support HBCU researchers in carrying out health services and health disparities research activities to meet the needs of diverse CMS beneficiary populations. The goals of the HBCU Health Services Research Grant Program are to:

- Encourage HBCU health services researchers to pursue research issues which impact the Medicare, Medicaid, and Children Health Insurance programs;
- Assist CMS in implementing its mission focusing on health care quality and improvement for its beneficiaries;
- Assist HBCU researchers by supporting extramural research in health care capacity development activities for the African American community;
- Increase the pool of HBCU researchers capable of implementing the research, demonstration, and evaluation activities of CMS;
- Promote research that will be aimed at developing a better understanding of health care services pertained to African Americans; and
- Assist in fostering inter-university communication and collaboration regarding African American health disparity issues.

Health Issues of Concern

CMS is interested in the following types of applications:

- a) Applications that address research on disseminating information and improving health related attitudes, knowledge, beliefs, and practices related to the following six health priority conditions:
 - 1) Diabetes,
 - 2) Cancer Screening and Management,
 - 3) Cardiovascular Disease,
 - 4) HIV/AIDS (Among Medicare or Medicaid Beneficiaries),
 - 5) Adult and Childhood Immunizations,
 - 6) Infant Mortality.

Other Population Specific Health Concerns:

- 1) Asthma,
- 2) Obesity,
- 3) Mental Health.

- b) Applications to research the effectiveness of programs designed to:

- 1) Increase disease management, self management, disease prevention, and health promotion.
- 2) Increase the use of preventive services (for example – colorectal, mammography, and prostate screening; children with asthma who are Medicaid recipients).
- 3) Improve health outcomes among Medicare and/or Medicaid beneficiaries as these issues relate to the six health priority conditions and other population specific health concerns listed above.
- 4) Remove barriers and improve access to health services.
- 5) Reduce health disparities and socioeconomic differences in health services.
- 6) Increase the efficient utilization of health services.
- 7) Improve quality of care.
- 8) Reduce health care costs.
- 9) Promote care coordination between providers of services and minority beneficiaries.
- 10) Support community-based advisory health groups to improve health services for minority beneficiaries.

All applications should describe the research to be conducted with relevance to the CMS Medicare, Medicaid, and Children Health Insurance Program, and which area of Healthy People 2020 is served by this project.

Types of Studies

CMS is interested in supporting the following two types of studies:

- 1) **Educational Intervention Studies.** These studies will inform at-risk populations about certain health problems especially as they relate to African Americans. A follow-up plan should be developed to determine the effectiveness of the intervention. An example might include developing an educational program to enhance the awareness, knowledge, and understanding of African Americans about prevention, treatment, services, and/or strategies for accessing the health care system. The project should reach a minimum of **350** participants.
- 2) **Developmental Intervention Studies.** These studies will develop promising new approaches to reducing disease, encouraging changes in health behavior, and promoting health among African Americans. For example, using computers to disseminate health-related information or testing the effectiveness of a health hotline in reducing health disparities. The project should reach a minimum of **350** participants.

Examples of Research Intervention Models

- 1) Educational Outreach
- 2) Train the Trainer
- 3) Community based organizations

- 4) Community health navigators
- 5) Community health workers
- 6) Community Based Case Managers
- 7) Health Professional Networks.

5. Technical Assistance

After award, technical assistance will be available to awardees from the Project Officer and the Grants Management Specialist. Technical assistance may include providing guidance on submitting data required for quarterly progress reports, providing comments on drafts and final reports, and second year continuation reports to ensure that project activities fulfill the original intent of the grant, assisting with technical reporting requirements and closing out projects, assuring compliance with federal regulations, etc.

II. AWARD INFORMATION:

1. Total Funding

Total funding set aside for this initiative will be \$200,000.

2. Award Amount

Eligible HBCUs may request \$200,000.

3. Anticipated Award Date

CMS anticipates making an award by September 30, 2014.

4. Period of Performance

The anticipated period of performance for this grant award is September 30, 2014 through September 29, 2016. Funding will be awarded for a 24 month budget period.

5. Number of Awards

CMS intends to award **one** grant for the Historically Black Colleges and Universities Health Services Research Grant Program.

6. Type of Award

The funds awarded for this grant program come from federal educational grants. CMS anticipates awarding a grant to one (1) institution for a 24-month project/budget period. CMS strongly encourages collaboration with an HBCU, and/or community based/health organization, faith based organization, social organization, or a State/Territorial Office of Minority Health. If an application was submitted in response to a prior year's announcement under this grant program, but was not funded, **a new application must be submitted**. In an effort to achieve that objective, awards to principal investigators (PI) will be limited to a maximum of two. If you received two or more awards in the past under this program, you will be unable to apply for this grant award. However, you may serve as a consultant on an application.

7. Termination of Award

Continued funding to an awardee is dependent on satisfactory performance against goals and performance expectations delineated in the grants terms and conditions. Projects will be funded subject to meeting terms and conditions specified and may be suspended or terminated if these are not met [see 1115A [42 USC 1315 a](b)(3)(B)].

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

An HBCU must meet **one** of the following three requirements in order to qualify for funding under this grant program:

- 1) Offer a Ph.D. or Master's Degree Program in one or more of the following disciplines:
 - Allied Health
 - Gerontology
 - Health Care Administration
 - Nursing
 - Pharmacology
 - Public Health
 - Social Work; **or**
- 2) Have a School of Medicine; **or**
- 3) Be a member of the National HBCU Network for Health Services and Health Disparities.

2. Cost Sharing/Matching

CMS's grant authority under section 1110 of the Social Security Act requires cost-sharing by applicants. To comply with this requirement, CMS is requiring that applicants provide cost-sharing equal to at least one percent (1%) of the amount of the award. This cost-sharing requirement may be satisfied through in-kind contributions. **Applications that do not include Cost Sharing will not be considered for further review.**

3. Foreign and International Organizations

Foreign and International Organizations are not eligible to apply.

4. Faith Based Organizations

Faith Based Organizations are not eligible to apply.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

A complete electronic application package, including all required forms, is available at <http://www.grants.gov>. Standard application forms and related instructions are available online at <http://www.cms.hhs.gov/ResearchDemoGrantsOpt/>. The applicant must submit the application electronically through [Grants.gov](http://www.grants.gov).

For assistance with the Grants.gov online process including but not limited to the registration process, technical difficulties with completing the application, and password retrieval, please contact Grants.gov directly at 1-800-518-4726 or support@grants.gov.

- You must search the downloadable application by the CFDA number 93.779.
- At the <http://www.grants.gov> website, you will find information about submitting an application electronically through the site, including hours of operation. HHS strongly recommends that you do not wait until the application due date to begin the application process through <http://www.grants.gov> because of the time needed to complete the required registration steps.
- **Legal Status:** All applicants under this announcement must have an Employer Identification Number (EIN), otherwise known as a Taxpayer Identification Number (TIN), to apply. **Please note, the time needed to complete the EIN/TIN registration process is substantial, and applicants should therefore begin the process of obtaining an EIN/TIN immediately to ensure this information is received in advance of application deadlines.**

- **Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS number):** All applicants, as well as subrecipients, must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. The DUNS number is a nine-digit identification number that uniquely identifies business entities. To obtain a DUNS number, access the following website: <http://www.dnb.com/> or call 1-866-705-5711. This number should be entered in the block 8c (on the Form SF-424, Application for Federal Assistance). The organization name and address entered in block 8a and 8d should be exactly as given for the DUNS number. **Applicants should obtain this DUNS number immediately to ensure all registration steps are completed in time.**
- **System for Award Management (SAM) Requirement:** All applicants must provide their DUNS and EIN/TIN numbers in order to be able to register in the System for Award Management (SAM)* <https://www.sam.gov/portal/public/SAM/>. Registering an account with SAM is a separate process from submitting an application. Applicants are encouraged to register early to ensure that it does not impair your ability to meet required submission deadlines.

Applicants must successfully register with SAM prior to submitting an application or registering in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) as a prime awardee user. Prime recipients must maintain a current registration with the SAM database, and may make subawards only to entities that have a DUNS number.

Each year organizations and entities registered to apply for Federal grants and cooperative agreements through Grants.gov will need to renew their registration with the System for Award Management (SAM). You can register with SAM online at <http://www.sam.gov/>.

Failure to renew SAM registration prior to application submission will prevent an applicant from successfully applying.

- **Authorized Organizational Representative:** The Authorized Organizational Representative (AOR) who will officially submit an application on behalf of the organization must register with Grants.gov for a username and password. AORs must complete a profile with Grants.gov using their organization's DUNS Number to obtain their username and password. http://grants.gov/applicants/get_registered.jsp. AORs must wait at least one business day after registration in SAM before entering their profiles in Grants.gov. **Applicants should complete this process as soon as possible after successful registration in SAM to ensure this step is completed in time to apply before application deadlines.**
 - When an AOR registers with Grants.gov to submit applications on behalf of an organization, that organization's E-Biz point-of-contact will receive an email notification. The email address provided in the profile will be the email used to send the notification from Grants.gov to the E-Biz point of contact (E-Biz POC) with the AOR copied on the correspondence.

- The E-Biz POC must then login to Grants.gov (using the organization’s DUNS number for the username and the special password called “M-PIN”) and approve the AOR, thereby providing permission to submit applications.
- The AOR and the DUNS must match. If your organization has more than one DUNS number, be sure you have the correct AOR for your application.
- **Any files uploaded or attached to the Grants.gov application must be PDF file format and must contain a valid file format extension in the filename.** Even though Grants.gov allows applicants to attach any file format as part of their application, CMS restricts this practice and only accepts PDF file format. **Any file submitted as part of the Grants.gov application that is not in a PDF file format, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process.** In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted. The application must be submitted in a file format that can easily be copied and read by reviewers. It is recommended that scanned copies not be submitted through Grants.gov unless the applicant confirms the clarity of the documents. Pages cannot be reduced, resulting in multiple pages on a single sheet, to avoid exceeding the page limitation. All documents that do not conform to the above requirements will be excluded from the application during the review process.
- After you electronically submit your application, you will receive an automatic email notification from Grants.gov that contains a Grants.gov tracking number. **Please be aware that this notice does not guarantee that the application will be accepted by Grants.gov. It is only an acknowledgement of receipt.** All applications that are successfully submitted must be validated by Grants.gov before they will be accepted. Please note applicants may incur a time delay before they receive acknowledgement that the application has been validated and accepted by the Grants.gov system. In some cases, the validation process could take up to 48 hours or longer. If for some reason your application is not accepted, then you will receive a subsequent notice from Grants.gov citing that the application submission has been rejected. **Applicants should not wait until the application deadline (3:00 pm EDT on July 18, 2014) to apply because notification by Grants.gov that the application failed validation and is rejected may not be received until close to or after the application deadline, eliminating the opportunity to correct errors and resubmit the application. Applications that fail validation and are therefore rejected by Grants.gov after the deadline will not be accepted.** For this reason CMS recommends submission of applications prior to the due date and time.
- The most common reasons why an application fails the validation process and is rejected by Grants.gov are:
 - SAM registration cannot be located and validated;
 - SAM registration has expired;
 - The AOR is not authorized by the E-Biz POC to submit an application on behalf of the organization;
 - File attachments do not comply with the Grants.gov file attachment requirements.

- **HHS retrieves applications from Grants.gov only after Grants.gov validates and accepts the applications. Applications that fail validation and are rejected by Grants.gov are not retrieved by HHS, and HHS does not have access to rejected applications.**
- After HHS retrieves your application from Grants.gov, you will receive an email notification from Grants.gov stating that the agency has received your application and once receipt is processed, you will receive another email notification from Grants.gov citing the Agency Tracking Number that has been assigned to your application. It is important for the applicant to keep these notifications and know the Grants.gov Tracking Number and Agency Tracking Number associated with its application submission.
-

Full applications can only be accepted through <http://www.grants.gov/>. Applications cannot be accepted through any email address.

All applications must be submitted electronically and be received through Grants.gov by **3:00 p.m.** Eastern Daylight Time (Baltimore, MD) on **July 18, 2014**.

All applications will receive an automatic time stamp upon submission, and applicants will receive an automatic e-mail reply acknowledging the application's receipt.

Please be aware of the following:

- Search for the application package in Grants.gov by entering the CFDA Number or Funding Opportunity Number. These numbers are shown on the cover page of this announcement.
- If you experience technical challenges while submitting your application electronically, please contact Grants.gov Support directly at: support@grants.gov or (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on federal holidays). CMS encourages applicants not to wait until right before the due date to submit the application.
- Upon contacting Grants.gov, obtain a helpdesk tracking number as proof of contact. The tracking number is helpful if there are technical issues that cannot be resolved.
- To be considered timely, applications must be received by the published deadline date. However, a general extension of a published application deadline that affects all applicants or only those applicants in a defined geographical area may be authorized by circumstances that affect the public at large, such as natural disasters (e.g., floods or hurricanes) or disruptions of electronic (e.g., application receipt services) or other services, such as a prolonged blackout.

Grants.gov complies with Section 508 of the Rehabilitation Act of 1973. If an individual uses assistive technology and is unable to access any material on the site including forms contained with an application package, they can email the Grants.gov contact center at support@grants.gov or call 1-800-518-4726.

2. Content and Form of Application Submission

The investigator must complete and submit an application package. Each application must include the contents described below, in the order indicated, and in conformity with the following specifications:

- **The narrative portion of the application should not exceed 25 typewritten double-spaced pages. Please ensure that the project narrative is page-numbered (1-25).**
- **Times New Roman with 12 Font should be used.**
- **While additional documentation may also be submitted, such materials should be limited to information relevant to the specific scope and purpose of the proposed project, and shall not exceed 10 pages.**
- Each application received from an eligible institution will be reviewed for merit by a panel of technical experts. Since CMS anticipates a large number of applications for each panel member to review, it is important that your application be concise, yet thorough.

Please ensure that the project narrative is page-numbered (1-25). The following items **should not be included in the Project Narrative portion of the application**, and, therefore, will not be included in the 25 page limit:

- Standard Forms from the Application Forms Kit;
- Applicant's Cover letter;
- Project Abstract;
- Budget Narrative/Justification.

- **A complete application should consist of the following documents as outlined below in parts (a) through (h):**

a) **Standard Forms from the Application Kit**

The following Standard Forms (SF) must be enclosed as part of the application.

SF-424: Official Application for Federal Assistance

SF-424A: Budget Information Non-Construction

SF-424B: Assurances - Non-Construction Programs

SF LLL: Disclosure of Lobbying Activities

Project/Performance Site Location(s) Form

Note: On SF 424 "Application for Federal Assistance":

- Item 15 “Descriptive Title of Applicant’s Project.” Please indicate in this section the name of this grant funding opportunity: Grants to Support the Historically Black Colleges and Universities Health Services Research Grant Program
- Check box “C” to item 19, as Review by State Executive Order does not apply to this grant award.

b) Cover Letter

The cover letter shall be addressed to Linda Gmeiner, Grants Management Specialist, and shall include the principal investigator’s (PI) name as well as the fiscal person who is responsible for completing financial reports (i.e. SF-425 and PSC 272); a brief description of the proposed project; the targeted population; and the contact information for your organization (**name, phone number, fax, and e-mail address**). The letter must also include the names of all institutions collaborating in the project and indicate that the applicant institution has clear authority to perform the proposed activities and is capable of implementing this project. The cover letter shall be included in the application package and uploaded to Grants.gov.

c) Letter of endorsement from the President or another official from the institution

The application must include a letter of endorsement from the President or another official from the applicant institution as part of the appendices section of your application.

d) Project Abstract

The one-page abstract (single-spaced) should serve as a succinct description of the proposed project and should include the goals of the project, the total budget, and a description of how the grant will be used. The abstract is often distributed to provide information to the public and Congress, so please write the abstract so that it is clear, accurate, concise, and without reference to other parts of the application. Personal identifying information should be excluded from the abstract.

e) Project Narrative

The 25-page project narrative shall provide a concise and complete description of the proposed project. It shall contain the information necessary for the review panelists to fully understand the project and cover all aspects of the project. The five points outlined below briefly describe the Project Narrative requirements. Please see Section V. Application Review Information, 1. Criteria, for more detailed information on formatting and content requirements that should be followed when submitting the Project Narrative.

- 1) Statement of the problem - Describe what the investigator wants to do and why – (e.g. the problem that is being addressed) – background, significance, need, project

purpose, goals and objectives, and relevance to CMS mission/programs (for example, Medicare, Medicaid, or CHIP).

- 2) Methodology of the proposed project - How does the investigator intend to implement the project?
- 3) Ability to implement the research project - Discuss the implementation strategy and management plan (workplan).
- 4) Institutional structure, capabilities, and budget - Does the institution have the structure and capacity to conduct the research project? Is there a plan for budget and performance monitoring?
- 5) Collaboration with a HBCU, and/or community-based/health organization, faith-based organization, social organization, State Territorial/Office of Minority Health - Describe the type and degree of collaboration.

f) Budget Narrative/Justification

Applicants must provide a **detailed breakdown** of the aggregate numbers for the budget recorded on Standard Form 424A (SF 424A) “Budget Information for Non-Construction Programs,” through submission of a detailed Budget Narrative. The Budget Narrative shall include a yearly breakdown of costs for the two-year grant period of performance. Specifically, the Budget Narrative shall provide a detailed cost breakdown for each line item outlined in the SF-424A by year including a breakdown for each activity/cost within the line item. The proportion of grant funding designated for each activity should be clearly outlined and justify the institution’s readiness to receive funding through 2016 including complete explanations and justifications for the proposed grant activities. The budget must clearly identify what funds will be administered directly by the lead agency and what will be subcontracted to other partners. The designated lead agency is solely responsible for the fiscal management of the project.

The following budget categories should be addressed (as applicable):

- Personnel
 - NOTE: Consistent with section 203 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) none of the funds appropriated in this law shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.
- Fringe benefits
- Contractual costs, including subcontracts
- Equipment
- Supplies
- Travel

- Indirect charges. The total indirect costs shall **not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and subgrants and contracts under the grant in excess of \$25,000.
- Other costs, including those not otherwise associated with training and education.

The Budget Narrative shall outline the strategies and activities of the program, and provide cost breakdowns for any subcontracts that will be implemented to achieve anticipated outcomes.

The Budget Narrative shall also clearly distinguish the funding source of any given activity/cost, as either Federal or Non-Federal. Applicants should pinpoint those costs funded through in-kind contributions. Applicants must include detailed salary and fringe benefit costs for staff dedicated to the project through an in-kind contribution, to include yearly salary costs and the percentage of time dedicated to the project (for any given year).

The total budget for each award should include **both direct and indirect costs**. The total indirect costs **should not exceed 8%** of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and subgrants and contracts under the grant in excess of \$25,000.

g) Required Appendices (15 page limit)

- Key Staff Qualifications - Include a biographical sketch or resume of key staff members describing their qualifications.
- Project Workplan/Timeline - Include a detailed project workplan and timeline.
- Letters of Agreement, Endorsement, or Support – In addition to including an endorsement from the President or another official from your institution, please also provide endorsements from collaborating organizations outlining their contributions, roles, and responsibilities relative to the project and commitments that have been pledged for the proposed project. Include individual letters of support, as appropriate.
- Memoranda of Understanding - Include documentation reflecting the collaborative relationships between relevant institutions.
- Institutional Review Board Approval - Include the outcome of the request for Institutional Review Board approval.

h) Supporting Documentation (10 page limit)

Additional, supporting documentation may be submitted; however, such materials should be limited to information relevant to the specific scope and purpose of the proposed project, and shall not exceed 10 pages.

NOTE: If the application does not comply with the guidelines in this announcement (proper format, project abstract, etc.) it will not be considered for further review.

Acceptable applications, (i.e., those that meet the above criteria) will be reviewed using the procedures as described.

3. Submission Dates and Times

You must submit your application electronically through Grants.gov by **3:00 PM Eastern Daylight Time** (Baltimore, MD) on **July 18, 2014**. Applications submitted through Grants.gov constitute electronically signed applications. The registration and E-Authorization process establishes the Authorized Organizational Representative (AOR). When you submit the application through Grants.gov, the name of your representative on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR.

Late applications: Any application that is received after the due date and time will be deemed a “late application.” Those institutions submitting a late application will be notified (upon request) that the application was not considered in the competition.

Letter of Intent

Applicants are encouraged to submit a Letter of Intent (LOI). However, a LOI is not required and an applicant’s submission or failure to submit a LOI has no bearing on the scoring of applications received. The LOI enables CMS to better plan for the application review process.

Prospective applicants choosing to submit an LOI are asked to submit it by **June 25, 2014**. The LOI should include a title and description of the proposed project, address, and telephone number of the investigator(s), the identities of other key personnel, and the names of participating institutions. The LOI should not exceed one page. The information received from the LOI allows CMS to estimate the potential review workload and facilitates planning for the review process.

The LOI shall be emailed to Dr. Richard Bragg, Project Officer at Richard.Bragg@cms.hhs.gov.

4. Intergovernmental Review

Applications for this grant are not subject to review by States under Executive Order 12372, “Intergovernmental Review of Federal Programs.” Please check box “C” on item 19 of the SF 424 (Application for Federal Assistance) as Review as by State Executive Order 12372 does not apply to this grant program.

5. Funding Restrictions

a) Grant funds may be used for any of the following:

- Personnel costs, which may include project support staff and contracts for collaboration.
- Costs of data collection and transmission.
- Travel costs as they pertain to the administration and conduct of the grant.
- Training cost for program participants.
- Indirect costs which do not exceed 8% of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and subgrants and contracts under the grant in excess of \$25,000.
- All travel, conference, and meeting expenses must be consistent with HHS guidelines, and may require CMS prior approval.

b) Grant funds may not be used for any of the following:

- To provide direct services to individuals except as explicitly permitted under the grant announcement.
- To match any other Federal funds.
- To provide services, equipment, or supports that are already the legal responsibility of another party under Federal law.

V. APPLICATION REVIEW INFORMATION

1. Criteria

CMS will use the following evaluation criteria to evaluate all applications for inclusion in the program. The total score for the evaluation criteria is 100 points.

To assist applicants in preparing the application and to aid the technical panel in its review, the narrative portion of the application should be written using the following format:

- Statement of the Problem;
- Methodology;
- Ability to Implement the Research Project;
- Institutional Structure, Capabilities, and Budget;
- Collaboration with a HBCU and/or Community-Based/Health Organization, Faith-Based Organization, Social Organization, State/Territorial Office of Minority Health.

The panel reviewer shall score the application based on the following:

a) Statement of the Problem

The application must demonstrate that the applicant has a thorough understanding of the specific health problem(s) within the targeted population and the strategies required to address the problem(s) identified. The applicant should clearly describe the proposed project explaining what the researcher plans to do and why. This section of the application must describe the:

- Background, significance, and need for the project;
- Project purpose, goals, and objectives ;
- Relevance of the project to CMS’s mission/programs. How the project will improve the overall health outcomes and quality of care, reduce health disparities, and achieve savings for the targeted population (Medicare, Medicaid, or CHIP programs);
- Supporting research materials/Review of Literature.

Panel scoring: 20 Maximum Points

b) Methodology

The applicant should explain how the research team intends to implement the project. The applicant should make a complete and concise presentation of the methodology that will be implemented in this project. The proposal should provide clear and convincing evidence and supporting materials that are appropriate for the project that are likely to improve quality of care and reduce health disparities for the targeted population. Any innovative features of the proposed project should be highlighted. The application must include:

- Study design and intervention strategies (**include in the appendix brief samples of focus group guides and questionnaires to be used**);
- Hypotheses/research questions;
- Data collection and data analysis plan, as appropriate;
- Targeted population and setting;
- Expected outcomes;
- A plan for evaluation of the project;

- Information about the Institutional Review Board (IRB) Approval (**include in appendix a copy of the letter of approval or the information to be submitted to the IRB**).

Panel scoring: 30 Maximum Points

c) Ability to Implement the Research Project

The applicant should provide detailed information to demonstrate their technical understanding and capability of performing the requirements of the project, including:

- A detailed implementation strategy and plan that includes a management plan (workplan) describing tasks, responsible individuals, timelines, and costs. **A timetable of not more than 24 months with specific key actions and milestones should be included in the appendix.**
- The capabilities/responsibilities of all personnel and a description of how the personnel will be organized, to whom they will report, and their role in accomplishing the goals and objectives and components of the project.

Panel scoring: 20 Maximum Points

d) Institutional Structure, Capabilities, and Budget

The applicant should demonstrate clear and convincing evidence that the institution has the organizational infrastructure and management capacity to conduct the research project effectively, including:

- Evidence of the availability and adequacy of the facilities, equipment, and financial management systems to conduct the project;
- A plan for budget and performance monitoring - (**How does the PI plan to monitor the budget?**);
- Protocols to guide the administrative aspects of the project - (**How does the PI plan to interact with the Office of Sponsored Programs, Grant Office, Contract Office to administer the project?**).

In addition, the proposed budget and budget narrative are carefully developed and reflect efficient and reasonable use of funds. Overhead and administrative costs are reasonable, with funding focused on operations rather than administration. The proposed budget request reflects a promising investment given the expected impact of the health services research activities.

The evaluation will consider whether the applicant possesses the organizational infrastructure and management capacity to conduct the research project, as well as a comprehensive budget reflecting all costs of staffing for implementing the health services research activities,

Panel scoring: 15 Maximum Points

e) **Collaboration with a HBCU and/or Community Based/Health Organization, Faith Based Organization, Social Organization, State Territorial Office of Minority Health**

The applicant should describe the types and degrees of the collaborative relationships supporting the proposed research project that have been established or that may be established between the applicant HBCU and other HBCUs or community organizations. This description should include specific information about the roles and responsibilities of each collaborator on the project. Letters of support from collaborating organizations outlining their contributions, roles, and responsibilities relative to the research project should be included in the application. **Include letters of support in the appendix.** Collaborating organizations may include the following:

- Other HBCUs;
- Community-Based Health Organizations;
- Faith-Based Organizations;
- Social Organizations;
- State/Territorial Offices of Minority Health.

Panel scoring: 15 Maximum Points

2. Review and Selection Process

- Applications will be screened to determine eligibility for further review using the criteria detailed in this solicitation. Applications received late or that fail to meet the eligibility requirements as detailed in the solicitation or do not include the required forms will not be reviewed.
- An independent review will be conducted by a panel of experts. The panel will conduct an independent, objective review of all responsive applications. The panelists will assess each application based on the review criteria to determine the merits of the proposal and the extent to which it furthers the purposes of the research program. The panelists' comments and recommendations will be condensed into a summary statement that will assist CMS in making the final award decisions. CMS will use the information to judge the likelihood that the project will be successfully implemented and will have tangible, beneficial outcomes.

3. Anticipated Announcement and Award Dates

The applicant will receive written notification of the award decision. It is anticipated that an award will be made to a successful applicant before September 30, 2014.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

A recommendation for award will be made by the Director and Senior staff members of the Center for Medicare & Medicaid Innovation, Centers for Medicare & Medicaid Services, after consideration of the comments and recommendations of the technical review panelists and availability of funds. CMS reserves the right to determine which qualified applications will receive funding under this program. Technical assistance will be made available post award to the grantee.

The successful applicant will receive an official Notice of Award (NoA) signed by the CMS Grants Management Officer, OAGM, that will set forth the amount of the award and other pertinent information, including the specific terms and conditions of the award required for the fulfillment of the grant. In addition, to the general terms and conditions, **applicants should be aware that they may also be required to comply with special terms and conditions that will apply specifically to their grant application.** These special terms and conditions are used to clarify particular grant activities and ensure that grant funding is being used appropriately. The NoA is a legal document issued to notify the grantee that the award has been approved and that funds are now available for draw down from the HHS Payment Management System (PMS). Any communication between CMS and Awardees prior to issuance of the NoA is not an authorization to begin implementation of a project. Unsuccessful applicants will be notified electronically to the applicant organization as listed on its SF-424.

2. Administrative and National Policy Requirements

The following standard requirements apply to applications and awards under this FOA:

- a) Specific cost principles, as outlined in 2 CFR Parts 220, 225, and 230 (previously OMB circulars A-21, A-87, and A-122, respectively), administrative requirements as outlined in 45 CFR Parts 74 and 92, and audit requirements as outlined in OMB Circular A-133 apply to this grant opportunity.
- b) All awardees under this project must comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
 - i. Title VI of the Civil Rights Act of 1964,
 - ii. Section 504 of the Rehabilitation Act of 1973,
 - iii. The Age Discrimination Act of 1975, and
 - iv. Title II Subtitle A of the Americans with Disabilities Act of 1990.

- c) All equipment, staff, other budgeted resources, and expenses must be used exclusively for the project identified in the awardee's original grant application or agreed upon subsequently with HHS, and may not be used for any prohibited uses.

3. Terms and Conditions

In accordance with the FY2014 Appropriations Provision, Department of Health and Human Service (HHS) recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable HHS Grants Policy Statement, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitation in any applicable appropriations acts.

General Terms, Special Terms, and Program Specific Terms and Conditions may accompany the Notice of Award. Potential awardees should be aware that special requirements could apply to awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the application by the HHS review panel. The General Terms and Conditions that are outlined in Section II of the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the Notice of Award).

4. Reporting

- a) Grantee must agree to fully cooperate with any Federal evaluation of the program and provide reports at the intervals listed in the terms and conditions of award, and a final report at the end of the grant period in a form prescribed by CMS (including the SF-425 "Federal Financial Report" form). These reports will be designed to outline how grant funds were used and to describe program progress, as well as barriers and measurable outcomes. CMS will provide a format for reporting in the terms and conditions.
- b) In order for CMS to monitor grantee efforts toward reaching the goals of the grant program, grantee must agree to provide CMS with information it may require to assess the functioning and effectiveness of the program and to ensure that the grant monies are expended for the purposes for which they were awarded. The grantee must submit the following required reports throughout the period of performance: 1) quarterly progress reports, 2) annual report, and 3) final report. CMS will provide the format for these reports in the terms and conditions.

5. Federal Financial Report

Awardees will be required to submit the SF-425 Federal Financial Report on an annual, semi-annual, or quarterly basis. More details will be outlined in the Notice of Award Terms and Conditions.

6. Transparency Act Reporting Requirements

New awards issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252 and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier sub-award of \$25,000 or more in Federal funds and executive total compensation for the recipient’s and sub-recipient’s five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at www.fsrs.gov). Competing Continuation awardees may be subject to this requirement and will be so notified in the Notice of Award.

7. Audit Requirements

Awardees must comply with the audit requirements of Office of Management and Budget (OMB) Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at www.whitehouse.gov/omb/circulars.

8. Payment Management Requirements

In addition to the requirements of financial reporting by CMS, awardees must also submit a semi-annual electronic SF-425 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. Failure to submit the report may result in the inability to access funds. The SF-425 Certification page should be faxed to the Payment Management System contact at the fax number listed on the SF-425, or it may be submitted to:

Division of Payment Management
HHS/ASAM/PSC/FMS/DPM
PO Box 6021
Rockville, MD 20852
Telephone: (877) 614-5533

VII. AGENCY CONTACTS

Questions concerning this grant program are encouraged. Requests to clarify any issues from potential applicants are welcome. Please contact:

Richard Bragg, Ph.D.

Project Officer

Centers for Medicare & Medicaid Services
Center for Medicare and Medicaid Innovation
Mail Stop WB-06-05
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-7250
e-mail - Richard.bragg@cms.hhs.gov

Direct inquiries regarding grant procedures, fiscal matters, or guidance in completing the application forms to:

Linda Gmeiner
Grants Management Specialist

Centers for Medicare & Medicaid Services
OAGM/Division of Grants Management
Mail Stop B3-30-03
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-9954
e-mail – Linda.gmeiner@cms.hhs.gov

VIII. OTHER INFORMATION

- **Executive Order 13410** (August 22, 2006) ~ “Promoting Quality and Efficient Health Care in Federal Government Administered or Sponsored Health Care Programs”

EO 13410 is applicable to health care providers, health plans, or health insurance issuers. It states that as each provider, plan, or issuer implements, acquires, or upgrades health information technology systems, it shall utilize, where available, health information technology systems and products that meet recognized interoperability standards. “Interoperability” means the ability to communicate and exchange data accurately, effectively, securely, and consistently with different information technology systems, software applications, and networks in various settings, and exchange data such that clinical or operational purpose and meaning of the data are preserved and unaltered.

- **Meetings** - Applicants must include in their application a provision for attendance of up to two project members at two research meetings sponsored by CMS. However, awardees must comply with the following:

Promoting Efficient Spending for Conferences and Meetings

It is the Department of Health and Human Services’ (HHS) policy that conferences and meetings funded through grants and cooperative agreements: are consistent with legal requirements and HHS’ missions, objectives, and policies; represent an efficient and effective use of taxpayer funds; and are able to withstand public scrutiny. CMS must conduct business, including conferences and meetings, consistent with these tenets. As a result, CMS has adopted grant and cooperative agreement practices that promote efficient spending for conferences and meetings.

While grant recipients are always encouraged to provide performance-based solutions to the Government's requirements, the Centers for Medicare and Medicaid (CMS) encourages alternative solutions (i.e. teleconference) as opposed to traditional face-to-face meetings. A "conference" is defined as "[a] meeting, retreat, seminar, symposium or event that involves awardee, subcontractor, or consultant travel."

Any conferences, with or without travel, that you believe are necessary to accomplish the purposes of this grant must have prior CMS approval. These requests must be priced separately in the budget and include the following information:

- (1) a description of its purpose;
- (2) the number of participants attending;
- (3) a detailed statement of the costs to the grant, including—
 - (A) the cost of any food or beverages;
 - (B) the cost of any audio-visual services for a conference;
 - (C) the cost of employee or contractor travel to and from a conference; and
 - (D) a discussion of the methodology used to determine which costs relate to a conference.

In addition, funds under this grant may not be used for the purpose of defraying the costs of a conference that is not directly and programmatically related to the purpose for which the grant is awarded (such as a conference held in connection with planning, training, assessment, review, or other routine purposes related to a project funded by the grant).

- **Limitation** - One major objective of the HBCU Health Services Research Grant Program is to "increase the pool of HBCU researchers available to implement the research, demonstration, and evaluation activities of CMS." In an effort to achieve that objective, awards to principal investigators (PI) will be limited to a maximum of two. If you received two or more awards in the past under this same program, you will be unable to apply for this grant award. However, you may serve as a consultant on an application.
- **Published Reports** - If your application is awarded, the **grantee will be required to submit an article to a refereed journal** describing the findings of the study. All published reports, both formal and informal, should acknowledge grant support with the following footnote "This project was supported with funding from the Centers for Medicare & Medicaid Services." The article must also state the following: *The statements contained in this report are solely those of the authors and do not necessarily reflect the views or policies of the Centers for Medicare & Medicaid Services. The grantee assumes responsibility for the accuracy and completeness of the information contained in this report.* **Before submitting a manuscript or a publication, the principal investigator must consult with the CMS Project Officer. When a manuscript resulting from this grant is accepted for publication, the principal investigator must promptly notify the CMS Project Officer of its acceptance and the date it is scheduled to be published.** The awardee is also required to participate in CMS sponsored research conferences. At these conferences, the awardee will present preliminary and/or final results of his/her study.