



**Administration for Children and Families**

Office of Planning, Research and Evaluation

Head Start University Partnerships: Dual-Generation Approaches

HHS-2013-ACF-OPRE-YR-0634

Application Due Date: 07/26/2013

Head Start University Partnerships: Dual-Generation Approaches

HHS-2013-ACF-OPRE-YR-0634

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**Department of Health & Human Services  
Administration for Children and Families**

**Program Office:** Office of Planning, Research and Evaluation  
**Funding Opportunity Title:** Head Start University Partnerships: Dual-Generation Approaches  
**Announcement Type:** Initial  
**Funding Opportunity Number:** HHS-2013-ACF-OPRE-YR-0634  
**Primary CFDA Number:** 93.600  
**Due Date For Letter of Intent:** 07/12/2013  
**Due Date for Applications:** 07/26/2013

### Executive Summary

#### Notices:

- **On January 1, 2012, the Administration for Children and Families implemented required electronic application submission via [www.grants.gov](http://www.grants.gov) for discretionary grant applications. Please see *Section III.3. Disqualification Factors, Section IV.2. Content and Form of Application Submission and Application Submission Options, and Section IV.3. Explanation of Due Dates and Times* for information on electronic application submission and the availability of exemptions allowing applicants to submit applications in paper format.**
- **This Fiscal Year (FY 2013) ACF has implemented a new application upload requirement. Each applicant applying electronically via [www.grants.gov](http://www.grants.gov) is required to upload only two electronic files, excluding Standard Forms and OMB-approved forms. No more than two files will be accepted for the review, and additional files will be removed. Standard Forms and OMB-approved forms will not be considered additional files. Please see *Section IV.2 Content and Form of Application Submission* for detailed information on this requirement.**

The Office of Planning, Research and Evaluation (OPRE), within the Department of Health and Human Services (HHS) Administration for Children and Families (ACF), intends to award up to four cooperative agreements under the Head Start University Partnerships (HSUP): Dual-Generation Approaches funding opportunity announcement (FOA) to support projects that will contribute to the knowledge base regarding the role that Head Start can play in promoting family well-being, including health, safety, financial security, and school readiness.

Projects must be led by researchers working in partnership with one or more Head Start programs. Together, they will identify and evaluate promising dual-generation approaches, which combine intensive, high-quality, child-focused programs with intensive, high-quality, adult-focused services to support both parent well-being and children's school readiness, within the context of Head Start. Eligible approaches include programs, or interventions, that are added onto Head Start services and new or existing models of service provision within Head Start. Adult-focused services may be oriented primarily toward increasing employment and economic self-sufficiency or focused on improving other aspects of parent well-being, such as parental mental health. Examples of the types of services of interest include, but are not limited to, sectoral employment initiatives or other intensive employment services, programs that target "soft" or

workforce readiness skills, family language and literacy (including English classes for non-English speakers), mental health services, and domestic violence services.

Grantees will be expected to conduct an implementation study and to evaluate the effectiveness of the intervention or model using the most rigorous research designs, methods, and analytic techniques that are appropriate and sufficient to address the research questions of interest. Results of these studies are expected to provide valuable information that can help guide programs in their decisions regarding strategies for improving parent well-being in ways that will ultimately result in positive child outcomes. Grantees will be expected to participate in a consortium of grantees, meeting annually and communicating regularly to share lessons learned, identify opportunities for collaborative analyses, and develop collective expertise and resources to be shared with the field at large.

## **I. Funding Opportunity Description**

### **Statutory Authority**

Awards under this funding opportunity announcement are authorized under Section 649 of the Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, codified at 42 U.S.C. § 9844.

### **Description**

#### **A. Purpose**

The Office of Planning, Research and Evaluation (OPRE), within the Department of Health and Human Services (HHS) Administration for Children and Families (ACF), intends to award up to four cooperative agreements under the Head Start University Partnerships (HSUP): Dual-Generation Approaches funding opportunity announcement (FOA) to support projects that will contribute to the knowledge base regarding the role that Head Start can play in promoting family well-being, including parental health, safety, financial security, and children's school readiness. Projects must be led by researchers working in partnership with one or more Head Start programs. Together, they will identify and evaluate promising dual-generation approaches, which combine intensive, high-quality, child-focused programs with intensive, high-quality, adult-focused services to support both parent well-being and children's school readiness, within the context of Head Start. Grantees will be expected to conduct an implementation evaluation and to evaluate the effectiveness of the intervention or model using the most rigorous research designs, methods, and analytic techniques that are appropriate and sufficient to address the research questions of interest. Results of these studies are expected to provide valuable information that can help guide programs in their decisions regarding strategies for improving parent well-being in ways that will ultimately result in positive child outcomes.

#### **B. Background**

In the United States, 24 percent of children under the age of 6 live in families below the federal poverty level (U.S. Census Bureau, 2011). Poverty represents a persistent developmental hazard for young children that impedes their school readiness and development in multiple domains, including physical, emotional, mental, cognitive, and language (McLoyd, 1998; Raver, 2004). One of the ways poverty is thought to confer risk to young children is through parental well-being (Yoshikawa, Aber, & Beardslee, 2012). As the primary source of safety, security, and nurturance for young children, parents play a critical role in creating environments that promote healthy developmental outcomes and school readiness. However, poverty and its co-factors (e.g., educational attainment, teen parenthood, nutrition, and psychological health) often compromise family well-being and parents' overall ability to provide the necessary supports for children (Yoshikawa et al., 2012). The ability to create a supportive caregiving environment may be limited by the capacity of parents who likely grew up under similar stressful conditions (Shonkoff, 2012). Low-income parents often have limited access to resources critical for

combating poverty and its related risks, such as education and training opportunities that promote economic self-sufficiency; reliable housing, transportation, and quality full-day child care that will allow parents to pursue educational and job opportunities; and mental and physical health services to combat the stress associated with poverty and ensure overall family health (Yoshikawa et al., 2012).

Dual-generation approaches are designed to address the problems associated with poverty by combining child-focused services intended to improve children's school readiness and longer-term outcomes, and adult-focused services aimed at supporting parents' well-being, typically with a focus on economic self-sufficiency (St. Pierre, Layzer, & Barnes, 1995). Since its inception in 1965, Head Start has been considered a dual-generation program, providing children with enriched learning environments and helping families to access the services that will enable them to support their children's development (e.g., parenting education, social services, health and mental health services). To provide these comprehensive services, Head Start grantee agencies form partnerships with participating children's parents to collaboratively identify family goals and strategies for achieving those goals, and they form partnerships with community organizations to ensure that children and families may access, either directly or through referrals, needed services and resources. Considered a key component of the Head Start program, these family and community partnerships are reflected in Head Start Performance Standards (see 45 CFR 1304.40 and 1304.41 at <http://eclkc.ohs.acf.hhs.gov/hslc/standards/Head%20Start%20Requirements>) and in a new Head Start Parent, Family, and Community Engagement (PFCE) Framework (see <http://content.cleverex.com/hslc/standards/IMs/2011/pfce-framework.pdf>). Yet, there is little empirical evidence to guide programs' decisions regarding the specific strategies that are most likely to result in improved parental well-being and, ultimately, positive child outcomes. This challenge is magnified by the fact that most Head Start programs rely upon other community service agencies to provide the services families need. Yet, those agencies may not have the resources to target Head Start parents and /or provide the types of services most likely to benefit this population and lead to better outcomes. During the 2009–2010 program year, few parents of Head Start children (7 percent or less) reported that Head Start helped to make them aware of or obtain community services, such as those that provide help in finding a job or going to school (Moiduddin et al., 2012).

While the research evidence supporting specific strategies is limited, findings from several studies suggest that there is a need for models or interventions that are capable of providing both parents and children with intensive, high-quality services. For example, evaluation results from the Head Start Family Service Center demonstration projects suggest that case management approaches that link families to existing services may be insufficient to improve parental economic self-sufficiency, especially if the existing services are not of high quality or are not sufficiently intensive (Bernstein, Swartz, & Levin, 2000). These results echo earlier findings from the Comprehensive Child Development Program (CCDP) demonstration project, which employed a case management model for both child-focused and adult-focused services (St. Pierre, Layzer, Goodson, & Bernstein, 1997). In addition, results from the Enhanced Services for the Hard-to-Employ demonstration and evaluation project show that augmenting an existing, high-quality, early childhood program, in this case Early Head Start, with employment and education services, without fully integrating the two programs, is insufficient to improve parent employment or self-sufficiency outcomes (Hsueh & Farrell, 2012). This FOA is designed to help build a cumulative knowledge base regarding the role Head Start can play in promoting school readiness and children's healthy development by integrating targeted approaches to improving parent well-being.

### C. Program Goals and Expectations

The overall goal of this year's HSUP grant program is to contribute to the knowledge base regarding the role that Head Start can play in promoting both family well-being and children's school readiness.

The specific goals and expectations are:

1. *To identify and evaluate promising dual-generation approaches to supporting both family well-being and children's school readiness within the context of Head Start.*

Projects funded through this grant program will evaluate innovative approaches to providing Head Start parents and children with services aimed at improving family well-being and school readiness. For the purpose of this announcement, the outcome of family well-being is defined as, “Parents and families are safe, healthy, and have increased financial security” (PFCE Framework). Successful applicants will target specific adult outcomes that have been linked in previous research to children’s development and learning and will examine approaches that have been demonstrated to be effective in improving those targeted outcomes. They will have clearly articulated theories of change that describe the mechanisms through which the intervention or model is hypothesized to affect not only short-term, proximal outcomes, but also longer-term or more distal outcomes, including adult, family, and child outcomes. Projects that explore the potential moderating or mediating roles of parental stress and/or executive function skills (i.e., working memory, inhibitory control, and cognitive flexibility) in their models are encouraged. While grantees will not be expected to measure or evaluate impacts on all distal outcomes, they will identify the outcomes that are expected to be affected within the timeframe of the grant and evaluate the impacts on those outcomes.

Dual-generation approaches may be programs, or interventions, that are added onto Head Start services or new or existing models of service provision within Head Start. Services may be oriented primarily toward increasing employment and economic self-sufficiency or focused on improving other aspects of parent well-being, such as parental mental health. Examples of the types of services of interest include, but are not limited to, sectoral employment initiatives or other intensive employment services, programs that target “soft” or workforce readiness skills, family language and literacy (including English classes for non-English speakers), mental health services, and domestic violence services. Parenting education programs (i.e., programs that aim to directly improve parenting practices or parent-child relationships without affecting adult well-being) are *not* among the interventions of interest under this FOA. The program or services may be provided directly by the Head Start program or through partnerships with other organizations. However, projects that provide services through partnering organizations must go beyond case management and have mechanisms in place for ensuring that Head Start families receive the program services. Projects that provide services through partnering organizations must incorporate all collaborative processes into the model of service provision to be tested.

Evaluation activities must include an implementation study and a rigorous test of the effectiveness of the intervention or model. Each project must address, at a minimum, the following research questions:

- *Implementation*: What are the key components of the intervention/model? In what ways, if any, does the identified intervention/model need to be adapted for use in the Head Start context? What are the challenges? What is the content of services? What resources are needed to implement the intervention or model? What elements indicate that the model has been implemented with fidelity? Who does and does not receive services?
- *Effectiveness*: Does participation in the program lead to improved family well-being outcomes? Do parents who participate in the program fare better than Head Start parents who do not receive the additional adult-focused services? Which parents benefit most from the program or services? What program and community factors lead to variations in the impact?

The first year of the grant is expected to be devoted to activities related to adapting the intervention for use in the program context if necessary, piloting as necessary, planning and preparing for implementation, and, in conjunction with the Federal Project Officer and a consortium of HSUP grantees, developing and possibly piloting common measurement strategies (see goal #3). The subsequent years of the grant will be devoted to careful implementation and evaluation of the intervention.

Projects funded through this grant program are expected to use the most rigorous research designs, methods, and analytic techniques that are appropriate and sufficient to address the research questions of interest and contribute to the knowledge base regarding the role that Head Start can play in promoting family well-being.

*2. To encourage researchers to enter into mutually beneficial partnerships with Head Start programs to*

*conduct research that can inform Head Start from both the federal and local perspectives.*

Research sponsored through Head Start funding is intended to provide valuable information that can guide program improvement, as well as guide the broader field of early childhood programming and early childhood development. The HSUP grant program specifically supports research projects planned and carried out by academic researchers in close collaboration with Head Start or Early Head Start programs. Over the past decade, HSUP projects have increased knowledge about the effectiveness of interventions/curricula for children, parents, and teachers; created and tested measures for use by practitioners and in future Head Start research; and added to the knowledge base regarding culturally and linguistically diverse children and families. Descriptions of current and past Head Start research projects can be found at: <http://www.acf.hhs.gov/programs/opre/research/topic/overview/head-start>.

Projects must be led by researchers working in partnership with one or more Head Start programs during all phases of the project (e.g., consulting in targeted goals, design of project, implementation, and interpretation). Partnerships may involve multiple Head Start programs in order to obtain the sample size needed to sufficiently test the model(s). Projects funded through this grant program must have the potential to significantly improve the services that are provided by Head Start programs by identifying and assessing effective strategies/interventions to improve family well-being. Furthermore, projects must be designed to be sustainable within the partnering Head Start program(s) in the absence of the research grant and replicable by other Head Start programs that might be interested in the approach (e.g., by having Head Start staff provide the services).

*3. To encourage active communication, networking, and interdisciplinary collaboration among Head Start and early childhood researchers, technical assistance providers, practitioners, and policymakers.*

To improve the capacity of the individual projects, grantees will be expected to participate in a consortium of HSUP grantees, led by OPRE staff. Grantees will be expected to meet and communicate regularly with federal staff and other grantees to share lessons learned, identify opportunities for collaborative analyses, and develop collective expertise and resources to be shared with the field at large. Principal Investigators (PIs) will be required to attend several meetings and conferences throughout the project period; see the section on additional project requirements for specific details.

*4. To increase the dissemination of Head Start research at the national and local levels.*

Results of the studies funded through this announcement, including the implications of results for the Head Start program at the local and national levels, will be made widely accessible. Publications and other project products must be archived with Child Care and Early Education Research Connections (“Research Connections”). Supported by a grant from OPRE, Research Connections is a web-based, interactive database of research documents and public use data sets for conducting secondary analyses on topics related to early care and education. Project teams must work with Research Connections throughout the project period to plan for the archiving and dissemination of research data resulting from their projects. Grantees and Research Connections will jointly select the datasets that are most appropriate for archiving and decide among the options for dissemination that best address all concerns related to privacy, intellectual property rights, data ownership, and other issues. For more information about Research Connections, see <http://www.childcareresearch.org/>. Specifications and additional information regarding data preparation and archiving can be found on the following webpage: <http://www.childcareresearch.org/content/childcare/find/contribute.html>

#### D. Additional Project Requirements

Under the cooperative agreements, substantial involvement is anticipated between ACF and the grantees throughout the duration of the funded projects.

As described in detail in the section on grant program goals and expectations, grantees will be expected to participate in a consortium of HSUP grantees. Grantees will be expected to meet and communicate regularly with federal staff and the consortium of grantees to share lessons learned, identify opportunities

for collaborative analyses, and develop collective expertise and resources to be shared with the field at large.

PIs will be required to attend grantee consortium meetings to be held in Washington, D.C., twice during the first year of funding and annually in subsequent years. One additional grantee consortium meeting may be held each year, in conjunction with a national conference, such as the Head Start National Research Conference or the Association for Public Policy Analysis and Management conference. The time and place of the additional annual meeting will be agreed upon by the grantees and the Federal Project Officer. Additional meetings may take place via teleconference. The PI will be required to participate in the biennial Head Start National Research Conference, held in Washington, D.C., and may be invited to participate in meetings of the Office of Head Start's technical assistance providers.

See *Section II. Award Information* for information regarding ACF's roles and responsibilities under the cooperative agreement.

## E. References

Bernstein, L., Swartz, J., & Levin, M., (2000). *Evaluation of the Head Start Family Service Center Demonstration Projects*. Washington, DC: Administration on Children, Youth and Families, U.S. Department of Health and Human Services.

Hsueh, J., & Farrell, M. E. (2012). *Enhanced Early Head Start with Employment Services: 42-Month Impacts from the Kansas and Missouri Sites of the Enhanced Services for the Hard-to-Employ Demonstration and Evaluation Project. OPRE Report 2012-05*. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services.

McLoyd, V. C. (1998). Socioeconomic disadvantage and child development. *American Psychologist*, *53*, 185-204.

Moiduddin, E., Aikens, N., Tarullo, L., West, J., Xue, Y. (2012). *Child Outcomes and Classroom Quality in FACES 2009. OPRE Report 2012-37a*. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services.

Raver, C. C. (2004). Placing emotional self-regulation in sociocultural and socioeconomic contexts. *Child Development*, *75*, 346-353.

Shonkoff, J. P. (2012). Leveraging the biology of adversity to address the roots of disparities in health and development. *PNAS Proceedings of the National Academy of Sciences of the United States of America*, *109*(Suppl 2), 17302-17307.

St. Pierre, R. G., Layzer, J. I., & Barnes, H. V. (1995). Two-generation programs: Design, cost, and short-term effectiveness. *The Future of Children*, *5*, 76-93.

St. Pierre, R. G., Layzer, J. I., Goodson, B. D., & Bernstein, L. S. (1997). *National Impact Evaluation of the Comprehensive Child Development Program*. Washington, DC: Administration on Children, Youth and Families, U.S. Department of Health and Human Services.

U.S. Census Bureau (2011). 2011 Current Population Survey. *People in Poverty by Selected Characteristics: 2010 and 2011*. Retrieved from: <http://www.census.gov/hhes/www/poverty/data/incpovhlth/2011/tables.html>

Yoshikawa, H., Aber, J. L., & Beardslee, W. R. (2012). The effects of poverty on the mental, emotional, and behavioral health of children and youth: Implications for prevention. *American Psychologist*, *67*, 272-284.

## II. Award Information

Funding Instrument Type:	Cooperative Agreement
Estimated Total Funding:	\$2,000,000
Expected Number of Awards:	4
Award Ceiling:	\$500,000 Per Budget Period
Award Floor:	\$400,000 Per Budget Period
Average Projected Award Amount:	\$400,000 Per Budget Period

### **Length of Project Periods:**

60-month project with five 12-month budget periods

### **Additional Information on Awards:**

**Awards made under this announcement are subject to the availability of federal funds.**

Applications requesting an award amount that exceeds the *Award Ceiling* per budget period or per project period, as stated in this section, will be disqualified from competitive review and from funding under this announcement. This disqualification applies only to the *Award Ceiling* listed for the first 12-month budget period for projects with multiple budget periods. If the project and budget period are the same, the disqualification applies to the *Award Ceiling* listed for the project period. Please see *Section III.3. Application Disqualification Factors*.

**Note:** For those programs that require matching or cost sharing, grantees will be held accountable for projected commitments of non-federal resources in their application budgets and budget justifications by budget period or by project period for fully funded awards, even if the projected commitment exceeds the required amount of match or cost share. **A grantee's failure to provide the required matching amount may result in the disallowance of federal funds.**

Applicants should provide a detailed budget and budget justification for each 12-month budget period.

Non-competing continuation awards will be offered for subsequent budget periods, subject to the availability of funds, satisfactory progress by the grantee, and a determination that continued funding would be in the best interest of the federal government.

### **Description of ACF's Anticipated Substantial Involvement Under the Cooperative Agreement**

OPRE will monitor the project and provide technical assistance and feedback when necessary. OPRE will provide leadership to maximize cooperation and collaboration among grantees, including organizing periodic consultations and teleconferences to review research activities, to share information, and to promote coordination of the project. OPRE will schedule and host two grantee meetings in the first year and one grantee meeting in each subsequent year of the grant. OPRE will also set the agenda and coordinate activities for each meeting. OPRE will collaborate in activities specified in the award and will approve specific project milestones including the development of common measures, if needed, and the production of project materials. OPRE will act as a liaison between the grantee and the Office of Head Start to ensure that the research products developed are translatable to a practice community.

Please see *Section IV.5 Funding Restrictions* for limitations on the use of federal funds awarded under this announcement.

## **III. Eligibility Information**

### **III.1. Eligible Applicants**

Eligibility under this announcement is *limited* to institutions of higher education, nonprofit organizations, and for-profit entities that:

- Apply *on behalf of researchers* who hold doctorate or equivalent degrees in their respective fields, conduct research as a primary professional responsibility, and have been first or second author on publications in peer-reviewed research journals; and
- Have a demonstrated *partnership* with one or more Head Start programs, as evidenced by signed letters of support from (a) partnering Head Start programs, indicating that they have entered into research partnerships with the applicant, and (b) the relevant Head Start Program Policy Council, certifying that the application has been reviewed and is approved or pending approval.

Eligibility is limited to these entities to promote the specific goals of this grant program, specifically the goals to develop partnerships between researchers and Head Start programs and conduct rigorous research that will inform the Head Start program.

ACF encourages applications from Tribally Controlled Land Grant Colleges and Universities, Historically Black Colleges and Universities, Hispanic Serving Institutions, Alaska Native and Native Hawaiian Serving Institutions, and faith-based institutions of higher education.

Applicant organizations/entities may submit more than one application, on behalf of more than one researcher, subject to the qualifications listed in this section.

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive, awards under this announcement. See *Section III.3. Other*.

Faith-based and community organizations that meet eligibility requirements are eligible to receive awards under this funding opportunity announcement.

See "Legal Status of Applicant Entity" in *Section IV.2* for documentation required to support eligibility.

### **III.2. Cost Sharing or Matching**

Cost Sharing / Matching Requirement: No

Refer to *Section IV.2* for information on pre-application submissions.

### **III.3. Other**

#### **DUNS Number and System for Award Management Eligibility Requirements (SAM.gov)**

All applicants must have a DUNS number ([www.dnb.com](http://www.dnb.com)) and be registered with the System for Award Management (SAM, [www.sam.gov](http://www.sam.gov)) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Finalize a new, or renew an existing, registration at least two weeks before the application deadline. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: [https:// www.sam.gov /sam /transcript /SAM Quick Guide Grants Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf).

HHS requires all entities that plan to apply for, and ultimately receive, federal grant funds from any HHS Agency, or receive subawards directly from recipients of those grant funds to:

- Be registered in the SAM prior to submitting an application or plan;
- Maintain an active SAM registration with current information at all times during which it has an

- active award or an application or plan under consideration by an OPDIV; and
- Provide its active DUNS number in each application or plan it submits to the OPDIV.

ACF is prohibited from making an award until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, ACF:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

## APPLICATION DISQUALIFICATION FACTORS

Applications from individuals, foreign entities, or sole proprietorship organizations will be disqualified from competitive review and from funding under this announcement.

### Award Ceiling Disqualification

Applications that request an award amount exceeding the *Award Ceiling* per budget period, or per project period, as stated in *Section II. Award Information*, will be disqualified from competitive review and from funding under this announcement. This disqualification applies only to the *Award Ceiling* listed for first 12-month budget period for projects with multiple budget periods. If the project and budget period are the same, the disqualification applies to the *Award Ceiling* listed for the project period.

### Application Submission Disqualifications

ACF requires electronic submission of applications at [www.Grants.gov](http://www.Grants.gov). Applicants that do not have an Internet connection or sufficient computing capacity to upload large documents to the Internet may contact ACF for an exemption that will allow these applicants to submit an application in paper format. Information on requesting an exemption from electronic application submission is found in *Section IV.2. Application Submission Options*.

**The deadline for electronic application submission is 11:59 p.m., ET, on the due date listed in the Overview and in Section IV.3. Submission Dates and Times.** Electronic applications submitted to [www.Grants.gov](http://www.Grants.gov) after 11:59 p.m., ET, on the due date, as indicated by a dated and time-stamped email from [www.Grants.gov](http://www.Grants.gov), will be disqualified from competitive review and from funding under this announcement. That is, applications submitted to [www.Grants.gov](http://www.Grants.gov), on or after 12:00 a.m., ET, on the day after the due date will be disqualified from competitive review and from funding under this announcement.

Applications submitted to [www.Grants.gov](http://www.Grants.gov) at any time during the open application period, and prior to the due date and time, which fail the [www.Grants.gov](http://www.Grants.gov) validation check, will not be received at or acknowledged by ACF.

Each time an application is submitted via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time-stamp email. Only those applications with on-time date and time stamps that result in a validated application, which is transmitted to ACF, will be acknowledged.

**The deadline for receipt of paper applications is 4:30 p.m., ET, on the due date listed in the Overview and in Section IV.3. Submission Dates and Times.** Paper applications received after 4:30 p.m., ET, on the due date will be disqualified from competitive review and from funding under this announcement. **Paper applications received from applicants that have not received approval of an exemption from required electronic submission will be disqualified from competitive review and from funding under this announcement.** See "Request an Exemption from Required Electronic Application Submission" in *Section IV.2. Content and Form of Application Submission*.

Applications that are disqualified under any of these circumstances will receive written notification by

letter or by email.

For ***Head Start University Partnerships: Dual Generation Approaches***, applications from entities other than institutions of higher education, nonprofit organizations, or for-profit organizations will be disqualified from competitive review and from award under this announcement. The applicant will be notified in writing of this determination.

## **IV. Application and Submission Information**

### **IV.1. Address to Request Application Package**

OPRE Review Team: Head Start University Partnerships: Dual-Generation Approaches  
c/o ICF International  
9300 Lee Highway  
Fairfax, VA 22031  
Phone: (877) 350-5913  
Fax: (703) 934-3740  
Email: [HSUPDual@icfi.com](mailto:HSUPDual@icfi.com)

#### **Electronic Application Submission:**

The electronic application submission package is available at [www.Grants.gov](http://www.Grants.gov).

#### **Applications in Paper Format:**

For applicants that have received an exemption to submit applications in paper format, Standard Forms, assurances, and certifications are available at the ACF Funding Opportunities Forms webpage at <http://www.acf.hhs.gov/grants-forms>. See *Section IV.2. Request an Exemption from Required Electronic Application Submission* if applicants do not have an Internet connection or sufficient computing capacity to upload large documents (files) to [www.Grants.gov](http://www.Grants.gov).

#### **Standard Forms that are compliant with Section 508 of the Rehabilitation Act (29 U.S.C. § 794d):**

Available at the [Grants.gov Forms Repository](http://www.Grants.gov) website and at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).

#### **Federal Relay Service:**

Hearing-impaired and speech-impaired callers may contact the Federal Relay Service for assistance at 1-800-877-8339 (TTY - Text Telephone or ASCII - American Standard Code For Information Interchange).

## **Section IV.2. Content and Form of Application Submission**

### **FORMATTING ACF APPLICATIONS**

#### **FOR ALL ACF APPLICATIONS:**

##### **Authorized Organizational Representative (AOR)**

The AOR is an individual(s), named by the applicant/recipient organization, who is authorized to act for the applicant/recipient and to assume the obligations imposed by the federal laws, regulations, requirements, and conditions that apply to grant applications or awards. Each applicant must designate an AOR.

AOR authorization is part of the registration process at [www.Grants.gov](http://www.Grants.gov), where the AOR will create a short profile and obtain a username and password from the Grants.gov Credential Provider. AORs will only be authorized for the DUNS number registered in the System for Award Management (SAM).

### **Point of Contact**

In addition to the AOR, a point of contact on matters involving the application must also be identified. The point of contact, known as the Project Director or Principal Investigator, should not be identical to the person identified as the AOR. The point of contact must be available to answer any questions pertaining to the application.

### **Application Checklist**

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* of this announcement.

**Follow the instructions provided in this application formatting section to ensure that your application does not exceed the page limitations and can be printed efficiently and consistently for the competitive review.**

### **Accepted Font Styles:**

All applicants must use 12-point font in Times New Roman (TNR).

### **Page Limitations for Application Submissions**

Applicants must observe the page limitations listed later in this section. Page limitations do not include OMB-approved Standard Forms (SFs) and OMB-approved forms

**All applications must be double-spaced and in Times New Roman, 12-point font.** An application that exceeds the cited page limitation for double-spaced pages in the Project Description file or the Appendices file will have the extra pages removed and these pages will not be reviewed.

Page limitations apply to electronically submitted and paper format applications. For applications that are single-spaced and/or one-and-a-half spaced (in whole or in part, except for the exempted elements listed later in this section) and/or use a font smaller than TNR, 12-point, ACF will use a formula to determine the actual number of pages. The formula counts the number of characters an applicant uses when following the instructions and using 12-point TNR and then compares the resulting number with that of the submitted application. For example, an applicant using TNR, 11-point font, with 1-inch margins all around, and single-spacing, would have an additional 26 lines, or 1500 characters, which is equal to 4/5 of an additional page. Extra pages resulting from this formula will be removed and will not be reviewed.

Be sure to print the Project Description and Appendices documents on paper and count the number of pages for each file before submission. Keep the printed copy as a hard copy of your application for your files.

### **Copies Required**

Applicants must submit one complete copy of the application package electronically. Applicants submitting electronic applications need not provide additional copies of their application package.

Applicants submitting applications in paper format must submit one original and two copies of the complete application, including all Standard Forms and OMB-approved forms. The original copy must have original signatures.

### **Signatures**

Applicants submitting electronic applications must follow the AOR Authorization and E-Biz POC instructions provided at [www.Grants.gov](http://www.Grants.gov).

The original of a paper format application must include original signatures.

### **Accepted Application Format**

With the exception of the required Standard Forms and OMB-approved forms, all application materials must be formatted so that they will print out onto 8 ½" x 11" white paper with 1-inch margins all around. **The Project Description and Appendices files must be numbered separately.** The font size on any scanned documents must be large enough so that it is readable. Do not scan more than one page of a document on a single page. Application pages with two or more pages of a document scanned to it will be removed and will not be reviewed.

### **Elements Exempted from Double-Spacing Requirements**

The following elements of the application submission are exempt from the double-spacing requirements listed earlier in this section: the one-page Project Summary/Abstract, required Assurances and Certifications, required Standard Forms, required OMB-approved forms, resumes, logic models, proof of legal status/non-profit status, contracts, and the Budget Justification. These items may be single-spaced. The Project Summary/Abstract is required to be one single-spaced page in 12-point font with 1-inch margins. The Budget Justification may be single-spaced but must be in 12-point font. Resumes must be in 12-point font, but are not required to be double-spaced. The font size on any scanned documents must be large enough so that it is readable.

### **ELECTRONIC APPLICATION SUBMISSION INSTRUCTIONS**

Applicants are required to submit their applications electronically unless they have requested and received an exemption that will allow submission in paper format. See *Section IV.2. Application Submission Options* for information about requesting an exemption.

Electronic applications will only be accepted via [www.Grants.gov](http://www.Grants.gov). **ACF will not accept applications submitted via email or via facsimile.**

### **Application Upload Requirements**

**Each applicant is required to upload ONLY two electronic files, excluding Standard Forms and OMB-approved forms. No more than two files will be accepted for the review, and additional files will be removed. Standard Forms and OMB-approved forms will not be considered additional files.**

ACF strongly recommends that electronic applications be uploaded as Portable Document Files (PDFs). One file must contain the entire Project Description and Budget Justification; the other file must contain all documents required in the Appendices. Details on the content of each of the two files, as well as page limitations for each, are listed later in this section.

To adhere to the two file requirement, applicants may need to convert and/or merge documents together using a PDF converter software. Many recent versions of Microsoft Office include the ability to save documents to the PDF format without need of additional software. Applicants using the Adobe Professional software suite will be able to merge these documents together. ACF recommends merging documents electronically rather than scanning multiple documents into one document manually, as scanned documents may have reduced clarity and readability.

However, ACF understands that all applicants may not have access to this software. Grants.gov offers a listing of several free PDF conversion programs. These programs can be found on Grants.gov by clicking on 'Applicant Resources' on the far left side of the home page, and then by following the link to 'Download Software' near the top of the screen, or by clicking [HERE](#). Free PDF software is available on this page that will allow users to convert and merge PDF documents. As an example, ACF is providing written instructions on downloading and using one type of free software listed at Grants.gov at the following link: [https:// www.acf.hhs.gov/ sites/default/ files/assets/ pdf995 instructions for video.pdf](https://www.acf.hhs.gov/sites/default/files/assets/pdf995_instructions_for_video.pdf). A video demonstrating this process is also available at: <http://www.youtube.com/>

[watch?v=1Oly0HwXP5A](#). ACF does not endorse any of the software listed on Grants.gov, and applicants are not required to use a specific type of PDF conversion software to submit an application.

**NOTE:** Applications submitted via [www.Grants.gov](http://www.Grants.gov) will undergo a validation check. See *Section IV.2. Application Submission Options* for more information. The validation check can affect whether the application is accepted for review. If an application fails the Grants.gov validation check and is not resubmitted by 11:59 p.m., ET, on the due date, it will not be transmitted to ACF and will be excluded from the review. If an applicant resubmits their application to Grants.gov by 11:59 p.m., ET, on the due date and the application does not pass the validation check, it will not be transmitted to ACF and will be excluded from the review.

### **Required Standard Forms (SFs) and OMB-approved Forms**

Standard Forms (SFs) and OMB-approved forms, such as the SF-424 application and budget forms and the SF-P/PSL (Project/Performance Site Location), are uploaded separately at Grants.gov. These forms are submitted separately from the Project Description and Appendices files. See *Section IV.2. Required Forms, Assurances, and Certifications* for the listing of required Standard Forms, OMB-approved forms, and required assurances and certifications.

### **Carefully observe the file naming conventions required by [www.Grants.gov](http://www.Grants.gov)**

Limit file names to 50 characters and do not use special characters (example: &,-,\*,%/,#) including periods (.), blank spaces, and accent marks, within application form fields, and file attachment names. An underscore ( ) may be used to separate a file name.

### **Use only file formats supported by ACF**

It is critical that applicants submit applications using only the supported file formats listed here. While ACF supports all of the following file formats, **we strongly recommend that the two application submission files (Project Description and Appendices) are uploaded as PDF documents in order to comply with the two file upload limitation.** Documents in file formats that are not supported by ACF will be removed from the application and will not be used in the competitive review. This may make the application incomplete and ACF will not make any awards based on an incomplete application.

### **ACF supports the following file formats:**

- Adobe PDF – Portable Document Format (.pdf)
- Microsoft Word (.doc or .docx)
- Microsoft Excel (.xls or .xlsx)
- Microsoft PowerPoint (.ppt)
- Corel WordPerfect (.wpd)
- Image Formats (.JPG, .GIF, .TIFF, or .BMP only)

### **Do Not Encrypt or Password-Protect the Electronic Application Files**

If ACF cannot access submitted electronic files because they are encrypted or password protected, the affected file will be removed from the application and will not be reviewed. This removal may make the application incomplete and ACF will not make awards based on an incomplete application.

### **FORMATTING FOR PAPER APPLICATION SUBMISSIONS:**

The following requirements are only applicable to applications submitted in paper format. Applicants must receive an exemption from ACF in order for a paper format application to be accepted for review. See *Section IV.2. Request an Exemption from Required Electronic Application Submission* later in this section under *Application Submission Options* for more information.

### **Signatures**

An original signature of the AOR is required only on the original copy of paper format application

submissions. A point of contact on matters involving the application must be identified on the SF-424 at item 8f. The point of contact, known as the Project Director or Principal Investigator, should not be identical to the person identified as the AOR.

### **Format Requirements for Paper Applications**

All application materials must be submitted on 8 ½" x 11" white paper with 1-inch margins. Applications must be in two sections. The first section must contain the entire Project Description and Budget Justification, and the second section must contain all required Appendices. The pages of the two sections must be separately and sequentially numbered.

All copies of mailed or hand-delivered paper applications must be submitted in a single package. If an applicant is submitting multiple applications under a single FOA, or multiple applications under separate FOAs, each application submission must be packaged separately. The package(s) must be clearly labeled for the specific FOA it addresses by FOA title and by Funding Opportunity Number (FON).

Because each application will be duplicated, do not use or include separate covers, binders, clips, tabs, plastic inserts, maps, brochures, or any other items that cannot be processed easily on a photocopy machine with an automatic feed. Do not bind, clip, staple, or fasten in any way separate sections of the application. Applicants are advised that the copies of the application submitted, not the original, will be reproduced by the federal government for review. All application materials must be one-sided for duplication purposes.

Instructions on the order of assembly for paper application submissions are available later in this formatting section.

### **Addresses for Submission of Paper Applications**

See *Section IV.6. Other Submission Requirements* for addresses for paper format application submissions.

### **Page Limitations and Content of the Application for All Submission Formats:**

The **Project Description** file is limited to **60 pages** and includes:

- Table of Contents
- Project Summary/Abstract (one page maximum)
- Project Description Narrative
  - Outcomes Expected
  - Approach
  - Project Timeline and Milestones
  - Organizational Capacity
  - Protection of Sensitive and/or Confidential Information
  - Dissemination Plan
  - Plan for Oversight of Federal Award Funds
- Budget Justification (10 pages maximum)

The **Appendices** file is limited to **50 pages** and includes:

- Biographical Sketches / Resumes / Job Descriptions (2 pages each maximum)
- Organizational Charts
- Documentation of Eligibility
- Copies of Third-Party Agreements

## Required Forms, Assurances, and Certifications

Applicants seeking grant or cooperative agreement awards under this announcement must submit the listed Standard Forms (SFs), assurances, and certifications with the application. All required Standard Forms, assurances, and certifications are available at [ACF Funding Opportunities Forms](#) or at the [Grants.gov Forms Repository](#) unless specified otherwise.

Forms / Assurances / Certifications	Submission Requirement	Notes / Description
DUNS Number (Universal Identifier) and Systems for Award Management (SAM) registration..	<p>A DUNS number is required of all applicants. To obtain a DUNS number, go to <a href="http://fedgov.dnb.com/webform">http:// fedgov.dnb. com/ webform</a>.</p> <p>Active registration at the Systems Award Management (SAM) website must be maintained throughout the application and project award period. SAM registration is available at <a href="http://www.sam.gov">http://www.sam.gov</a>.</p>	<p>A DUNS number and SAM registration are eligibility requirements for all applicants.</p> <p>See <i>Section III.3. Other</i> for information on obtaining a DUNS number and registration at <a href="http://www.sam.gov">http://www.sam.gov</a>.</p>
SF-424 - Application for Federal Assistance and SF-P/PSL - Project/Performance Site Location(s)	Submission is required for all applicants by the application due date.	Required for all applications.
SF-424A - Budget Information - Non-Construction Programs and SF-424B - Assurances - Non-Construction Programs	Submission is required for all applicants when applying for a non-construction project. Standard Forms must be used. Forms must be submitted by the application due date.	Required for all applications when applying for a non-construction project. By signing and submitting the SF-424B, applicants are making the appropriate certification of their compliance with all federal statutes relating to nondiscrimination.
SF-424 Key Contact Form	Submission is required for all applicants by the application due date.	Required for all applications.

<p>Certification of Filing and Payment of Federal Taxes</p>	<p>Submission of a certification is required prior to award for grantees receiving more than \$5,000,000 in Federal funding for the first budget year of a multi-year project; or for grantees receiving more than \$5,000,000 in Federal funding for a one-year (12 months) project period; or for grantees receiving more than \$5,000,000 in Federal funding for a multiyear project to be fully funded.</p>	<p>Applicants are advised of the following requirement contained in Section 523 of the "Departments of Labor, Health and Human Services, and Education and Related Agencies Appropriations Act, 2008," (P.L. 110-161, Division G). This requirement remains in effect:</p> <p style="text-align: center;">Sec. 523.</p> <p>None of the funds appropriated or otherwise made available by this Act may be used to enter into a contract in an amount greater than \$5,000,000 or to award a grant in excess of such amount unless the prospective contractor or grantee <b>certifies in writing to the agency awarding the contract or grant</b> that, to the best of its knowledge and belief, the contractor or grantee has filed all Federal tax returns required during the three years preceding the certification, has not been convicted of a criminal offense under the Internal Revenue Code of 1986, and has not, more than 90 days prior to certification, been notified of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding. [Emphasis Added]</p> <p>Accordingly, if applicants request more than \$5 million in Federal funds for the first budget year of a multiyear project to be funded in FY 2010, or as a multiyear project to be fully funded in FY 2010, the applicant will be required to submit a certification complying with the requirements, prior to receiving an award.</p>
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<p>SF-LLL - Disclosure of Lobbying Activities</p>	<p>If applicable, submission of this form is due at the time of application.</p>	<p>If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit the SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.</p>
<p>Survey on Ensuring Equal Opportunity for Applicants</p>	<p><b>Submission is voluntary.</b> Submission may be made with the application by the application due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i>. Or, it may be submitted prior to the award of a grant.</p>	<p>Non-profit private organizations (not including private universities) are encouraged to submit the survey with their applications. Submission of the survey is voluntary. Applicants applying electronically may submit the survey along with the application as part of an appendix or as a separate document. Hard copy submissions should include the survey in a separate envelope.</p>
<p>Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption (Common Rule)</p>	<p>Submission of the required information and forms is due with the application package by the due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i>. If the information is not available at the time of application, it must be submitted prior to the award of a grant.</p>	<p>Form is available at <a href="http://www.hhs.gov/ohrp/assurances/forms/index.html">http://www.hhs.gov/ohrp/assurances/forms/index.html</a>. General information about the HHS Protection of Human Subjects regulations can be obtained at <a href="http://www.hhs.gov/ohrp/">http://www.hhs.gov/ohrp/</a>. Applicants may also contact OHRP by email (<a href="mailto:ohrp@csophs.dhhs.gov">ohrp@csophs.dhhs.gov</a>) or by phone (240-453-6900).</p>
<p>Certification Regarding Lobbying</p>	<p>Submission required of all applicants with the application package. If it is not submitted with the application package, it may also be submitted prior to the award of a grant.</p>	<p>Submission of this Certification is required for all applications.</p>

## Non-Federal Reviewers

Since ACF will be using non-federal reviewers in the review process, applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget as well as Social Security Numbers, if otherwise required for individuals. The copies may include summary salary information. If applicants are submitting their application electronically, ACF will omit the same specific salary rate information from copies made for use during the review and selection process.

## The Project Description

### Part I: The Project Description Overview

#### Purpose

The project description provides the majority of information by which an application is evaluated and ranked in competition with other applications for available assistance. It should address the activity for which federal funds are being requested, and should be consistent with the goals and objectives of the program as described in *Section I. Funding Opportunity Description*. Supporting documents should be included where they can present information clearly and succinctly. When appropriate, applicants should cite the evaluation criteria that are relevant to specific components of their project description. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application in a manner that is clear and complete.

#### General Expectations and Instructions

Applicants should develop project descriptions that focus on outcomes and convey strategies for achieving intended performance. Project descriptions are evaluated on the basis of substance and measurable outcomes, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant-funded activity should be placed in an appendix.

### Part II: General Instructions for Preparing a Full Project Description

#### Introduction

Applicants must prepare the project description statement in accordance with the following instructions while being aware of the specified evaluation criteria in *Section V.1. Criteria*. The text options give a broad overview of what the project description should include while the evaluation criteria identify the measures that will be used to evaluate applications.

#### Letter of Intent

Applicants are strongly encouraged to notify ACF of their intention to submit an application under this announcement. Please submit the letter of intent by the deadline date listed in *Section IV.3 Submission Dates and Times*.

The letter of intent should include the following information: number and title of this announcement; the name and address of the applicant organization; and/or Fiscal Agent (if known); and the name, phone number, fax number and email address of a contact person.

Letter of intent information will be used to determine the number of expert reviewers needed to evaluate applications. **The letter of intent is optional.** Failure to submit a letter of intent **will not** impact eligibility to submit an application and **will not** disqualify an application from competitive review.

Letters of intent should be submitted via e-mail to [HSUPDual@icfi.com](mailto:HSUPDual@icfi.com) or mailed to the following address:

OPRE Review Team  
Head Start University Partnerships: Dual-Generation Approaches  
c/o ICF International  
9300 Lee Highway  
Fairfax, VA 22031

### **Table of Contents**

List the contents of the application including corresponding page numbers. The table of contents must be single spaced and will be counted against the total page limitations.

### **Project Summary/Abstract**

Provide a summary of the application's project description. The summary must be clear, accurate, concise, and without reference to other parts of the application. The abstract must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

Please place the following at the top of the abstract:

- Project Title
- Applicant Name
- Address
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable

The project abstract must be single-spaced, in Times New Roman 12-point font, and limited to one page in length. Additional pages will be removed and will not be reviewed.

### **Outcomes Expected**

Identify the outcomes to be derived from the project. Outcomes should relate to the overall goals of the project as described in *Section I. Funding Opportunity Description*. If research is part of the proposed work, outcomes must include hypothesized results and implications of the proposed research.

### ***For Head Start University Partnership Grants:***

Introduce the proposal; outline the goals, expected outcomes, and specific objectives of the proposed project; and explain the significance of the problem that will be addressed.

#### *Goals, expected outcomes, and theory of change*

- Provide a brief introduction to the problem to be addressed and the research project that is being proposed to address it.
- State concisely the goals of the proposed project, specify the expected adult outcome(s), and provide a brief summary of the evidence linking the targeted adult outcomes with children's development and learning.
- Specify the intervention or model that will be tested, and briefly review the evidence supporting its effectiveness in improving the targeted adult outcomes. Note any studies that have tested the

intervention or model in the context of Head Start or other programs working with low-income families with young children.

- Describe the theory of change, or the mechanisms, through which the intervention or model is hypothesized to affect outcomes. Address both the short-term, proximal outcomes that are expected to be affected within the timeframe of the grant and the longer-term and/or more distal outcomes, including adult, family, and child outcomes. If applicable to the project, discuss the roles of parental stress and/or executive function in the theory of change.

### *Significance*

- Explain how the proposed project will improve current knowledge and contribute to future research. Review the relevant literature, and identify gaps and limitations that will be addressed by the proposed project. Include a reference list for literature cited.
- Explain how the results of the proposed project could contribute to significant improvements in Head Start services.
- Explain how the results of the proposed project would be relevant to low-income families, including both parents and children. If applicable, identify any specific populations for whom the results would have particular significance (e.g., dual language learners).
- Explain how the proposed project is innovative in its approach to providing parents of Head Start children with services aimed at improving family well-being. Identify any refinements, improvements, or new applications of existing approaches, and explain their advantage over existing approaches.

### **Approach**

Outline a plan of action that describes the scope and detail of how the proposed project will be accomplished. Applicants must account for all functions or activities identified in the application. Describe any design or technological innovations, reductions in cost or time, or extraordinary social and/or community involvement in the project. Provide a list of organizations, cooperating entities, consultants, or other key individuals that will work on the project, along with a short description of the nature of their effort or contribution.

Cite potential obstacles and challenges to accomplishing project goals and explain strategies that will be used to address these challenges.

### ***For Head Start University Partnership Grants:***

Describe, in detail, the technical approach for addressing the issues and achieving the objectives laid out in the Outcomes Expected section. Describe the partnerships that are in place for carrying out the project. Clearly describe the research design, sample, procedures, measures, and analytic strategy. Explain how they are appropriate and sufficient for addressing the goals, objectives, and research questions addressed in the project, including both the implementation study and a rigorous test of effectiveness. Discuss the strengths and limitations of each aspect of the design; cite relevant literature as appropriate. Identify any technical or logistical challenges that may arise, and propose solutions for them. In this section, also describe how the project will work collaboratively with researchers, technical assistance providers, practitioners, and policymakers. Address all aspects of the proposed research project, including:

#### *Partnerships and Collaborations*

- Describe the partnership or partnerships with the Head Start program(s) that will be involved in the project. Discuss how the programs will be involved in all phases of the project (e.g., consulting in targeted goals, design of project, implementation, and interpretation).
- Describe how the intervention or model will be incorporated into the goals and structure of the Head Start program. Discuss the sustainability of the intervention or model beyond grant funding and replicability to additional Head Start programs.

- Describe any additional partnerships with other organizations that will be involved in the project.
- Discuss how the project will work with other HSUP projects to share lessons learned, identify opportunities for collaborative analyses, and develop collective expertise and resources to be shared with the field at large. Identify any areas of collaboration that are of particular interest.

### *Research Design*

- Present the conceptual framework for the proposed research.
- Present specific, clearly defined research questions, hypotheses, constructs, and variables. Describe how the research questions, hypotheses, constructs, and variables relate to one another, and include a flow chart, table, or conceptual model that demonstrates these interrelationships.

### *Sample*

- Describe the proposed study sample.
- Describe recruitment procedures, and provide evidence that the partnerships that are in place for the purpose of the proposed project will be sufficient to meet sample size requirements.
- Describe how the proposed project will provide for adequate protection of human subjects, and if applicable, describe the process by which Human Subjects Certification will be obtained.

### *Procedures and Measures*

- Provide a detailed plan describing all activities of the intervention or model, all study procedures, and all measures.
- Provide evidence for the reliability and validity of all measures, especially with low-income samples.
- Identify the measures that will be used to assess the short-term, proximal outcomes that are expected to be affected within the timeframe of the grant, and if necessary, provide evidence that these are linked with longer-term or more distal outcomes of interest. If applicable to the project, identify measures of parental stress and/or executive function.

### *Analytic Strategy*

- Provide a detailed plan describing the analytic approach, statistical techniques, and methods of inference that will be used to analyze and interpret the data.
- Provide results of power analyses, demonstrating that the sample size will be sufficient to detect effects using the proposed analytic techniques.

In addition to describing the technical approach, describe the management plan for the proposed project. Describe the contributions of the organizations and key individuals who will work on the project. Provide an organizational chart portraying the management of the project. See also the related requirements under Project Timeline and Milestones and Organizational Capacity (i.e., documentation of the qualifications of the organizations and key individuals to carry out the proposed project).

### **Project Timeline and Milestones**

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function, or activity, in such terms as the number of people to be served and the number of activities accomplished. Data may be organized and presented as project tasks and subtasks with their corresponding timelines during the project period. For example, each project task could be assigned to a row in the first column of a grid. Then, a unit of time could be assigned to each subsequent column, beginning with the first unit (i.e., week, month, quarter) of the project and ending with the last. Shading, arrows, or other markings could be used across the applicable grid boxes or cells, representing units of time, to indicate the approximate duration and/or frequency of each task and its start and end dates within the project period.

When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

## **Legal Status of Applicant Entity**

Applicants must provide the following documentation:

Non-profit organizations applying for funding are required to submit proof of their non-profit status. Proof of non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code.
- A copy of a currently valid IRS tax-exemption certificate.
- A statement from a state taxing body, state attorney general, or other appropriate state official certifying that the applicant organization has non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a state or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

When applying electronically, it is strongly suggested that the applicant attach proof of non-profit status with the electronic application.

## **Additional Eligibility Documentation**

Applicants must provide the additional, required documentation, or required credentials, to support eligibility for an award, as described in *Section III. Eligibility Information* of this announcement:

### ***For Head Start University Partnership Grants:***

Provide information regarding the PI's work and publication history to address the eligibility criterion that the applicant institution/organization is applying on behalf of a researcher who is appropriately qualified. A curriculum vitae, biographical sketch, or résumé would appropriately address this need.

To demonstrate partnership or partnerships with one or more Head Start programs, submit the original copy of a letter from each partnering Head Start program certifying that it has entered into a research partnership with the applicant and the original copy of a separate letter from the official representative of the relevant, local Head Start Program Policy Council certifying that the application has been reviewed and approved, or is pending approval, by the Policy Council.

## **Logic Model**

Applicants must submit a logic model for designing and managing their project. A logic model is a tool that presents the conceptual framework for a proposed project and explains the linkages among program elements. While there are many versions of the logic model, they generally summarize the logical connections among the needs that are the focus of the project, project goals and objectives, the target population, project inputs (resources), the proposed activities/processes/outputs directed toward the target population, the expected short- and long-term outcomes the initiative is designed to achieve, and the evaluation plan for measuring the extent to which proposed processes and outcomes actually occur.

## **Organizational Capacity**

Provide the following information on the applicant organization and, if applicable, on any cooperating partners:

- Organizational charts;
- Resumes (no more than two single-spaced pages in length);
- Curricula Vitae (CV);
- Biographical Sketches (short narrative description);
- Evidence that the applicant organization, and any partnering organizations, have relevant experience and expertise with administration, development, implementation, management, and evaluation of programs similar to that offered under this announcement;
- Evidence that each participating organization, including partners and/or subcontractors, possess the organizational capability to fulfill their role(s) and function(s) effectively;
- Job descriptions for each vacant key position.

### **Protection of Sensitive and/or Confidential Information**

If any confidential or sensitive information will be collected during the course of the project, whether from staff (e.g., background investigations) or project participants and/or project beneficiaries, provide a description of the methods that will be used to ensure that confidential and/or sensitive information is properly handled and safeguarded. Also provide a plan for the disposition of such information at the end of the project period.

### **Dissemination Plan**

Applicants must propose a plan to disseminate reports, products, and/or grant project outputs so that project information is provided to key target audiences. Dissemination plans must include:

- Dissemination goals and objectives;
- Strategies to identify and engage with target audiences;
- Allocation of sufficient staff time and budget for dissemination purposes;
- A preliminary plan to evaluate the extent to which target audiences have received project information and have used it as intended.

### **Third-Party Agreements**

Third-party agreements include Memoranda of Understanding (MOU) and Letters of Commitment. General letters of support are **not** considered to be third-party agreements. Third-party agreements must clearly describe the project activities and support to which the third party is committing. Third-party agreements must be signed by the person in the third-party organization with the authority to make such commitments on behalf of their organization.

Provide written and signed agreements between grantees and subgrantees, or subcontractors, or other cooperating entities. These agreements must detail the scope of work to be performed, work schedules, remuneration, and other terms and conditions that structure or define the relationship.

Collaboration/consortia applicants must provide letters of commitment or MOU identifying the primary applicant that is responsible for administering the grant. The primary applicant must provide documentation of the commitments made by partnering organizations and describe in detail their roles and responsibilities as partners in the collaboration/consortia.

### **Letters Of Support**

Provide statements from community, public, and commercial leaders that support the project proposed for funding. All submissions must be included in the application package.

### **Plan for Oversight of Federal Award Funds**

Provide a plan describing how oversight of federal funds will be ensured and how grant activities and partner(s) will adhere to applicable federal and programmatic regulations. Applicants must identify staff that will be responsible for maintaining oversight of program activities, staff, and partner(s). Applicants must describe procedures and policies used to oversee staff and/or partners/contractors.

Describe organizational records systems that relate financial data to performance data by identifying the source and application of federal funds so that they demonstrate effective control over and accountability for funds, compare outlays with budget amounts, and provide accounting records supported by source documentation.

### **The Project Budget and Budget Justification**

All applicants are required to submit a project budget and budget justification with their application. The project budget is input on the Budget Information Standard Form, either SF-424A or SF-424C, according to the directions provided with the SFs. The budget justification consists of a budget narrative and a line-item budget detail that includes detailed calculations for "object class categories" identified on the Budget Information Standard Form.

Project budget calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching or cost sharing is a requirement, applicants must include a detailed listing of any funding sources identified in Block 18 of the SF-424 (Application for Federal Assistance). See the table in *Section IV.2. Required Forms, Assurances, and Certifications* listing the appropriate budget forms to use in this application.

**Special Note:** *The Consolidated Appropriations Act, 2012 (Pub.L. 112-74), enacted December 23, 2011, limits the salary amount that may be awarded and charged to ACF grants and cooperative agreements. Award funds issued under this announcement may not be used to pay the salary, or any percentage of salary, to an individual at a rate in excess of Executive Level II. The Executive Level II salary of the Federal Executive Pay scale is \$179,700 (<http://www.opm.gov/oca/12tables/html/ex.asp>). This amount reflects an individual's base salary **exclusive** of fringe benefits and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to subawards/subcontracts under a ACF grant or cooperative agreement.*

Provide a budget justification using the 424A and/or 424C, as applicable, for each year of the proposed project. Provide a budget justification, which includes a budget narrative and a line-item detail, for each year of the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

Applicants are reminded of the following:

- The budget should reflect travel funds for the PI to attend two grantee consortium meetings in Washington, D.C., during the first year of the project and annually thereafter, as well as up to three biennial Head Start Research Conferences, depending on the length of the proposed project period; and
- The award ceiling reflects total costs, including both direct and indirect costs.

### **General**

Use the following guidelines for preparing the budget and budget justification. When a match or cost share is required, both federal and non-federal resources must be detailed and justified in the budget and budget narrative justification. "Federal resources" refers only to the ACF grant funds for which the applicant is applying. "Non-federal resources" are all other non-ACF federal and non-federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, federal budget; next column(s), non-federal budget(s); and last column, total budget. The budget justification should be in a narrative form.

### **Personnel**

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known at the time of application. For each staff person provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates; etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant. Contractors and consultants should not be placed under this category.

### **Fringe Benefits**

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement insurance, and taxes.

### **Travel**

Description: Costs of out-of-state or overnight project-related travel by employees of the applicant organization. Do not include in-state travel or consultant travel.

Justification: For each trip show the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. If appropriate for this project, travel costs for key project staff to attend ACF-sponsored workshops/conferences/grantee orientations should be detailed in the budget.

### **Equipment**

Description: "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year per unit and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the applicant organization's regular written accounting practices.)

Justification: For each type of equipment requested applicants must provide a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use of the equipment in the project; as well as a plan for the use, and/or disposal of, the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

## **Supplies**

Description: Costs of all tangible personal property other than that included under the Equipment category. This includes office and other consumable supplies with a per-unit cost of less than \$5,000.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

## **Contractual**

Description: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations (with budget detail), including delegate agencies and specific project(s) and/or businesses to be financed by the applicant. This area is not for individual consultants.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open, and free competition. Recipients and subrecipients, other than states that are required to use 45 CFR Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed by 41 U.S.C. § 134 and currently set at \$100,000. Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc., available to ACF.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each contractor/sub-contractor, by agency title, along with the same supporting information referred to in these instructions. If the applicant plans to select the contractors/sub-contractors post-award and a detailed budget is not available at the time of application, the applicant must provide information on the nature of the work to be delegated, the estimated costs, and the process for selecting the delegate agency.

## **Other**

Description: Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: consultant costs, local travel; insurance; food (when allowable); medical and dental costs (noncontractual); professional services costs (including audit charges); space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

Justification: Provide computations, a narrative description, and a justification for each cost under this category.

## **Indirect Charges**

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant federal agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the

authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

### **Paperwork Reduction Disclaimer**

As required by the Paperwork Reduction Act of 1995, 44 U.S.C. §§ 3501-3521, the public reporting burden for the Project Description is estimated to average 60 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection information. The Project Description information collection is approved under OMB control number 0970-0139, which expires 10/31/2015. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

## **Application Submission Options**

### **Electronic Submission via [www.Grants.gov](http://www.Grants.gov)**

- Additional guidance on the submission of electronic applications can be found at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- If applicants encounter any technical difficulties in using [www.Grants.gov](http://www.Grants.gov), contact the Grants.gov Contact Center at: 1-800-518-4726, or by email at [support@grants.gov](mailto:support@grants.gov), to report the problem and obtain assistance. Hours of Operation: 24 hours a day, 7 days a week. The Grants.gov Contact Center is closed on federal holidays.
- Applicants should always retain Grants.gov Contact Center service ticket number(s) as they may be needed for future reference.
- **Contact with the Grants.gov Contact Center prior to the listed application due date and time does not ensure acceptance of an application. If difficulties are encountered, the Grants Management Officer listed in *Section VII. Agency Contacts* will determine whether the submission issues are due to Grants.gov system errors or user error.**

### **Application Validation at [www.Grants.gov](http://www.Grants.gov)**

After an application has been successfully submitted to [www.Grants.gov](http://www.Grants.gov), it still must pass a series of validation checks. After an application is submitted, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies that the application has been successfully delivered to the Grants.gov system.

Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated."

If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the applicant and the applicant must re-submit the application package. See "What to Expect After Submitting" at [www.Grants.gov](http://www.Grants.gov) for more information.

Each time an application is submitted, or resubmitted, via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time stamp. Only those applications with on-time date and time stamps that result in a validated application, which are transmitted to ACF, will be acknowledged.

Applicants will be provided with an acknowledgement from Grants.gov that the submitted application package has passed, or failed, a series of checks and validations. Applications that are submitted on time that fail the validation check will not be transmitted to ACF and will not be acknowledged.

## Request an Exemption from Required Electronic Application Submission

ACF recognizes that some applicants may have limited or no Internet access, and/or limited computer capacity, which may prohibit them from uploading large files at [www.Grants.gov](http://www.Grants.gov). To accommodate such applicants, ACF offers an exemption from required electronic submission. The exemption will allow applicants to submit hard copy, paper applications by hand-delivery, applicant courier, overnight/express mail couriers, or by other representatives of the applicant.

To receive an exemption from required electronic application submission, applicants must submit a written request to ACF that must state that the applicant qualifies for the exemption for one of the two following reasons:

- Lack of Internet access or Internet connection, or
- Limited computer capacity that prevents the uploading of large documents (files) at [www.Grants.gov](http://www.Grants.gov).

Applicants may request and receive the exemption from required electronic application submission by either:

- Submitting an email request to [electronicappexemption@acf.hhs.gov](mailto:electronicappexemption@acf.hhs.gov), or
- Sending a written request to the Office of Grants Management Contact listed in *Section VII. Agency Contacts* in this announcement.

Requests for exemption from required electronic application submission will be acknowledged with an approval or disapproval.

Requests that do not state one of the two listed reasons will not be approved.

An exemption is applicable to all applications submitted by the applicant organization during the Federal Fiscal Year (FFY) in which it is received. Applicants need only request an exemption once in a FFY. Applicants must request a new exemption from required electronic submission for any succeeding FFY.

**Please Note:** [electronicappexemption@acf.hhs.gov](mailto:electronicappexemption@acf.hhs.gov) **may only be used to request an exemption from required electronic submission.** All other inquiries must be directed to the appropriate Agency Contact listed in *Section VII.* of this announcement. Queries or requests submitted to this email address for any reason other than a request for an exemption from electronic application submission will not be acknowledged or answered.

All exemption requests must include the following information:

- Funding Opportunity Announcement Title,
- Funding Opportunity Number (FON),
- The listed Catalog of Federal Domestic Assistance (CFDA) number,
- Name of Applicant Organization and DUNS Number,
- AOR name and contact information,
- Name and contact information of person to be contacted on matters involving the application (i.e., the Point of Contact), and
- The reason for which the applicant is requesting an exemption from electronic application submission. The request for exemption must state one of the following two reasons: 1) lack of Internet access or Internet connection; or 2) lack of computer capacity that prevents uploading large documents (files) to the Internet.

**Exemption requests must be received by ACF no later than two weeks before the application due date**, that is, 14 calendar days prior to the application due date listed in the *Overview* and in *Section IV.3. Submission Dates and Times*. If the fourteenth calendar day falls on a weekend or federal holiday, the due date for receipt of an exemption request will move to the next federal business day that follows the weekend or federal holiday.

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* of this announcement.

### **Paper Format Application Submission**

**An exemption is now required for the submission of paper applications. See the preceding section on "Request an Exemption from Required Electronic Application Submission."**

Applicants with exemptions that submit their applications in paper format, by mail or delivery, must submit one original and two copies of the complete application with all attachments. The original and each of the two copies must include all required forms, certifications, assurances, and appendices, be signed by the AOR, and be unbound. The original copy of the application must have original signature(s). See *Section IV.6.* of this announcement for address information for paper format application submissions.

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* in this announcement.

## **IV.3. Submission Dates and Times**

### **Due Date for Letter of Intent**

Due Date for Letter of Intent: **07/12/2013**

Due Date for Applications: **07/26/2013**

### **Explanation of Due Dates**

The due date for receipt of applications is listed in the *Overview* section and in this section. See *Section III.3. Application Disqualification Factors.*

### **Electronic Applications**

The deadline for submission of electronic applications via [www.Grants.gov](http://www.Grants.gov) is 11:59 p.m., ET, on the due date. Electronic applications submitted at 12:00 a.m., ET, on the day after the due date will be considered late and will be disqualified from competitive review and from funding under this announcement.

Applicants are required to submit their applications electronically via [www.Grants.gov](http://www.Grants.gov) unless they received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission.*

ACF does not accommodate transmission of applications by email or facsimile.

Instructions for electronic submission via [www.Grants.gov](http://www.Grants.gov) are available at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

Applications submitted to [www.Grants.gov](http://www.Grants.gov) at any time during the open application period prior to the due date and time that fail the Grants.gov validation check will not be received at ACF. These applications will not be acknowledged.

### **Mailed Paper Format Applications**

The deadline for mailed paper applications is 4:30 p.m., ET, on the due date. Mailed paper applications received after the due date and deadline time will be considered late and will be disqualified from competitive review and from funding under this announcement.

Paper format application submissions will be disqualified if the applicant organization has not received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission.*

## **Hand-Delivered Paper Format Applications**

Applications that are hand-delivered by applicants, applicant couriers, by overnight/express mail couriers, or other representatives of the applicant must be received on, or before, the due date listed in the *Overview* and in this section. These applications must be delivered between the hours of 8:00 a.m. and 4:30 p.m., ET, Monday through Friday (excluding federal holidays). Applications should be delivered to the address provided in *Section IV.6. Other Submission Requirements*.

Hand-delivered paper applications received after the due date and deadline time will be considered late and will be disqualified from competitive review and from funding under this announcement.

Hand-delivered paper format application submissions will be disqualified if the applicant organization has not received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

### **No appeals will be considered for applications classified as late under the following circumstances:**

- Applications submitted electronically via [www.Grants.gov](http://www.Grants.gov) are considered late when they are dated and time-stamped after the deadline of 11:59 p.m., ET, on the due date.
- Paper format applications received by mail or hand-delivery after 4:30 p.m., ET, on the due date will be classified as late and will be disqualified.
- Paper format applications received from applicant organizations that were not approved for an exemption from required electronic application submission under the process described in *Section IV.2. Request an Exemption from Required Electronic Submission* will be disqualified.

### **Extensions and/or Waiving Due Date and Receipt Time Requirements**

ACF may extend an application due date and receipt time when circumstances make it impossible for applicants to submit their applications on time. These events include natural disasters (floods, hurricanes, tornados, etc.), or when there are widespread disruptions of electrical service, or mail service, or in other rare cases. The determination to extend or waive due date and/or receipt time requirements rests with the Grants Management Officer listed as the Office of Grants Management Contact in *Section VII. Agency Contacts*.

### **Acknowledgement from [www.Grants.gov](http://www.Grants.gov)**

Applicants will receive an initial email upon submission of their application to [www.Grants.gov](http://www.Grants.gov). This email will provide a **Grants.gov Tracking Number**. Applicants should refer to this tracking number in all communication with Grants.gov. The email will also provide a **date and time stamp**, which serves as the official record of application's submission. Receipt of this email does not indicate that the application is accepted or that it has passed the validation check.

Applicants will be provided with an acknowledgement from [www.Grants.gov](http://www.Grants.gov) that the submitted application package has passed, or failed, a series of checks and validations. Applications that are submitted on time that fail the validation check will not be transmitted to ACF and will not be acknowledged.

See "What to Expect After Submitting" at [www.Grants.gov](http://www.Grants.gov) for more information.

### **Acknowledgement from ACF of an electronic application's submission:**

Applicants will be sent additional email(s) from ACF acknowledging that the application has been retrieved from [www.Grants.gov](http://www.Grants.gov) by ACF. Receipt of these emails is not an indication that the application is accepted for competition.

### **Acknowledgement from ACF of receipt of a paper format application**

ACF will not provide acknowledgement of receipt of hard copy application packages submitted via mail or courier services.

#### IV.4. Intergovernmental Review of Federal Programs

This program is covered under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities." Under the Executive Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

Applicants should go to the following URL for the official list of the jurisdictions that have elected to participate in E.O. 12372 [http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/).

Applicants from participating jurisdictions should contact their SPOC, as soon as possible, to alert them of their prospective applications and to receive instructions on their jurisdiction's procedures. Applicants must submit all required application materials to the SPOC and indicate the date of submission on the Standard Form (SF) 424 at item 19.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application due date to comment on proposed new awards.

SPOC comments may be submitted directly to ACF to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade SW., 6th Floor East, Washington, DC 20447.

Entities that meet the eligibility requirements of this announcement are still eligible to apply for a grant even if a State, Territory or Commonwealth, etc., does not have a SPOC or has chosen not to participate in the process. Applicants from non-participating jurisdictions need take no action with regard to E.O. 12372. Applications from Federally-recognized Indian Tribal governments are not subject to E.O. 12372.

#### IV.5. Funding Restrictions

Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are considered unallowable costs under grants or cooperative agreements awarded under this funding opportunity announcement.

**Note:** Costs incurred for grant application preparation are not considered allowable costs under an award and may not be included in the project budget or budget justification.

Grant awards will not allow reimbursement of pre-award costs.

Construction is not an allowable activity or expenditure under this grant award.

Purchase of real property is not an allowable activity or expenditure under this grant award.

#### IV.6. Other Submission Requirements

Submit paper applications to one of the following addresses. See *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

##### Submission By Mail

OPRE Review Team: Head Start University Partnership: Dual Generation  
c/o ICF International  
9300 Lee Highway

Fairfax, VA 22031

## Hand Delivery

OPRE Review Team: Head Start University Partnership: Dual Generation  
c/o ICF International  
9300 Lee Highway  
Fairfax, VA 22031

## Electronic Submission

See *Section IV.2* for application requirements and for guidance when submitting applications electronically via <http://www.Grants.gov>.

For all submissions, see *Section IV.3* for information on due dates and times.

## V. Application Review Information

### V.1. Criteria

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications competing for financial assistance will be reviewed and evaluated using the criteria described in this section. The corresponding point values indicate the relative importance placed on each review criterion. Points will be allocated based on the extent to which the application proposal addresses each of the criteria listed. Applicants should address these criteria in their application materials, particularly in the project description and budget justification, as they are the basis upon which competing applications will be judged during the objective review. The required elements of the project description and budget justification may be found in *Section IV.2* of this announcement.

### Approach

**Maximum Points: 60**

Each application will be evaluated based on the extent to which the approach reflects *rigor*, *relevance*, and *sound management*.

**Rigor (0-30 points)**, or the extent to which the research utilizes the most appropriate research designs, methods, and analytic techniques to address the specified research questions, within budget and other constraints, will be evaluated based on:

- The extent to which the proposed project employs technically sound, appropriate, and innovative approaches, design elements, procedures, methods and analyses;
- The extent to which the proposal demonstrates that the targeted adult outcomes are related to children's development and learning, and that the selected intervention or model is effective in improving the targeted adult outcomes;
- The extent to which the hypothesized theory of change is clearly described and supported by existing research evidence; proposed activities are well-conceived, reasonable, and linked to the results and benefits expected; and all aspects of the intervention or model are appropriately measured within the timeframe of the grant;
- The extent to which the applicant provides evidence of sufficient partnership development and

recruitment to meet the necessary sample size for rigorous testing of effectiveness, as demonstrated through a power analysis;

- The extent to which the proposed plan adequately protects human subjects, confidentiality of data, and consent procedures, as appropriate.
- The extent to which the proposal addresses factors that might influence the ability to implement the intervention successfully and a plan for dealing with these challenges; and
- The extent to which the applicant describes an effective plan for the dissemination of research results by researchers, policymakers, and practitioners in the field.

**Relevance (0-15 points)** will be evaluated based on:

- The extent to which the application reflects a solid understanding of the research needs and goals of ACF and the federal Head Start program, as well as how these issues are relevant to local Head Start programs and the children and families enrolled in them;
- The extent to which the applicant articulates the current state of knowledge relative to the issues being addressed and clearly links the identified issues with the goals, objectives, and research questions of the proposal;
- The extent to which the proposed project would make a significant contribution to understanding the role that Head Start can play in promoting family well-being;
- The extent to which the proposal demonstrates an understanding of the Head Start program goals and structure, describes a convincing strategy for incorporating the intervention or model within the Head Start program, and reflects thoughtful consideration of the issues of sustainability and replicability; and
- The extent to which partnering Head Start programs will be involved in all phases of the project (e.g., consulting in targeted goals, design of project, implementation, and interpretation).

**Sound management (0-15 points)** will be evaluated based on:

- The extent to which the applicant presents a sound, workable, and cohesive plan of action demonstrating how the work would be carried out on-time, within budget, and with a high degree of quality;
- The extent to which the application includes a reasonable schedule of target dates and accomplishments;
- The extent to which the applicant presents a sound administrative framework for maintaining quality control over the implementation and ongoing operations of the study; and
- The extent to which the applicant presents a sound plan for coordination of activities carried out by partners and demonstrates an effective approach to team-building among project staff, consultants and advisors, and partnering organizations.

## **Staff and Organizational Support**

**Maximum Points: 30**

Successful completion of a research project depends on *staff qualifications and commitment* to the project and the *capacity of the organization* to support project activities.

**Staff qualifications and commitment (0-20 points)** will be evaluated based on:

- Whether the PI holds a doctorate or equivalent degree in his or her respective field, conducts research as a primary professional responsibility, and has been first or second author on publications in peer-reviewed research journals;
- The extent to which the PI, key staff, collaborators, consultants, and other necessary personnel demonstrate competence in areas addressed by the proposed research, including relevant background, experience, training and work on related research or similar projects;
- The extent to which the key staff and collaborators have expertise in interventions or services for improving self-sufficiency or other aspects of adult well-being, Head Start, and/or other programs for low-income families;

- The extent to which the key staff and collaborators possess the research expertise to conduct research in Head Start programs and the management experience necessary to operate the project; and
- The extent to which staffing (level and composition) is adequate to carry out all project activities with a high level of professional input and attention.

*Organizational capacity (0-10 points)* will be evaluated based on:

- Whether the applicant has a demonstrated partnership with one or more Head Start programs, as evidenced by signed letters of support from (a) partnering Head Start programs, indicating that they have entered into research partnerships with the applicant, and (b) the relevant Head Start Program Policy Council, certifying that the application has been reviewed and is approved or pending approval;
- The extent to which the applicant's facilities and organizational experience demonstrate an ability to carry out all functions, roles, and tasks of the proposed project;
- The extent to which the applicant can effectively and efficiently administer a project of the proposed size, complexity, and scope;
- The extent to which proposed project partners are appropriate and significantly committed to research goals; have the ability to carry out their functions, roles, and tasks; and have appropriate and sufficient fiscal commitment and organizational support; and
- The extent to which there is evidence of prior successful partnerships with proposed project partners.

## **Budget and Budget Justification**

**Maximum Points: 10**

The budget and budget justification will be evaluated based on the extent to which proposed project costs are reasonable and the budget is sufficient to accomplish the objectives of the project (**0-10 points**). Reviewers will consider the following:

- Does the budget clearly detail the itemized expenses for the project, and does the narrative budget justification clearly explain all calculations and how each itemized expense will be utilized?
- Are proposed project costs commensurate with the types and range of activities to be conducted and the expected goals and objectives of the project?
- Are all personnel funds reasonable for the responsibilities and time dedicated to the project activities?
- Does the budget include funds for all required items, including travel for the PI to attend two meetings in Washington, D.C., during the first year of the project and annually thereafter?

## **V.2. Review and Selection Process**

No grant award will be made under this announcement on the basis of an incomplete application. No grant award will be made to an applicant or sub-recipient that does not have a DUNS number ([www.dbn.com](http://www.dbn.com)) and an active registration at SAM ([www.sam.gov](http://www.sam.gov)). See *Section III.3. Other*.

### **Initial ACF Screening**

Each application will be screened to determine whether it meets one of the following disqualification criteria as described in *Section III.3. Application Disqualification Factors*:

- Applications that are designated as late according to *Section IV.3. Submission Dates and Times*,
- Applications that are submitted in paper format without prior approval of an exemption from required electronic submission (*Section IV.2. Request an Exemption from Required Electronic Application Submission*), or

- Applications with requests that exceed the award ceiling stated in *Section II. Award Information*.

For those applications that have been disqualified under the initial ACF screening, notice will be provided by postal mail or by email. See *Section IV.3. Explanation of Due Dates* for information on Grants.gov's and ACF's acknowledgment of received applications.

### **Objective Review and Results**

Applications competing for financial assistance will be reviewed and evaluated by objective review panels using the criteria described in *Section V.1. Criteria* of this announcement. Each panel is composed of experts with knowledge and experience in the area under review. Generally, review panels include three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by ACF in the selection of projects for funding; however, objective review scores and rankings are not binding. They are one element in the decision-making process.

ACF may elect not to fund applicants with management or financial problems that would indicate an inability to successfully complete the proposed project. Applications may be funded in whole or in part. Successful applicants may be funded at an amount lower than that requested. ACF reserves the right to consider preferences to fund organizations serving emerging, unserved, or under-served populations, including those populations located in pockets of poverty. ACF will also consider the geographic distribution of federal funds in its award decisions.

As described in *Section III.1. Eligible Applicants*, awards under this ***Head Start University Partnerships: Dual Generation Approaches*** announcement will be made to institutions of higher education, non-profit organizations, and for-profit organizations that:

- Apply on behalf of researchers who hold doctorate or equivalent degrees in their respective fields, conduct research as a primary professional responsibility, and have been first or second author on publications in peer-reviewed research journals; and
- Have a demonstrated partnership with one or more Head Start programs, as evidenced by signed letters of support from (a) partnering Head Start programs, indicating that they have entered into research partnerships with the applicant, and (b) the relevant Head Start Program Policy Council, certifying that the application has been reviewed and is approved or pending approval.

Please refer to *Section IV.2.* of this announcement for information on non-federal reviewers in the review process.

### **Approved but Unfunded Applications**

Applications recommended for approval that were not funded under the competition because of the lack of available funds may be held over by ACF and reconsidered in a subsequent review cycle if a future competition under the program area is planned. These applications will be held over for a period of up to one year and will be re-competed for funding with all other competing applications in the next available review cycle. For those applications that have been deemed as approved but unfunded, notice will be given of such determination by postal mail.

### **V.3. Anticipated Announcement and Award Dates**

Announcement of awards and the disposition of applications will be provided to applicants at a later date.

## VI. Award Administration Information

### VI.1. Award Notices

Successful applicants will be notified through the issuance of a Notice of Award (NOA) that sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-federal share to be provided (if applicable), and the total project period for which support is contemplated. The NOA will be signed by the Grants Officer and transmitted via postal mail or email. Following the finalization of funding decisions, organizations whose applications will not be funded will be notified by letter signed by the cognizant Program Office head. Any other correspondence that announces to a Principal Investigator, or a Project Director, that an application was selected is not an authorization to begin performance.

Project costs that are incurred prior to the receipt of the NoA are at the recipient's risk and may be reimbursed only to the extent that they are considered allowable as approved pre-award costs. Information on allowable pre-award costs and the time period under which they may be incurred is available in *Section IV.5. Funding Restrictions*.

### VI.2. Administrative and National Policy Requirements

Awards issued under this announcement are subject to the uniform administrative requirements and cost principles of 45 CFR Part 74 (Awards And Subawards To Institutions Of Higher Education, Hospitals, Other Nonprofit Organizations, And Commercial Organizations) or 45 CFR Part 92 (Grants And Cooperative Agreements To State, Local, And Tribal Governments). The Code of Federal Regulations (CFR) is available at <http://www.gpo.gov>.

An application funded with the release of federal funds through a grant award does not constitute, or imply, compliance with federal regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable federal regulations.

#### Prohibition Against Profit

Grantees are subject to the limitations set forth in 45 CFR Part 74, Subpart E-Special Provisions for Awards to Commercial Organizations (45 CFR § 74.81\_Prohibition against profit), which states that, "... no HHS funds may be paid as profit to any recipient even if the recipient is a commercial organization. Profit is any amount in excess of allowable direct and indirect costs."

#### Equal Treatment for Faith-Based Organizations

Grantees are also subject to the requirements of 45 CFR § 87.1(c), Equal Treatment for Faith-Based Organizations, which says, "Organizations that receive direct financial assistance from the [Health and Human Services] Department under any Department program may not engage in inherently religious activities such as worship, religious instruction, or proselytization, as part of the programs or services funded with direct financial assistance from the Department." Therefore, organizations must take steps to completely separate the presentation of any program with religious content from the presentation of the Federally funded program by time or location *in such a way that it is clear that the two programs are separate and distinct*. If separating the two programs by time but presenting them in the same location, one program must *completely* end before the other program begins.

A faith-based organization receiving HHS funds retains its independence from federal, state, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs. For example, a faith-based organization may use space in its facilities to provide

secular programs or services funded with federal funds without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization that receives federal funds retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents in accordance with all program requirements, statutes, and other applicable requirements governing the conduct of HHS-funded activities.

Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which includes the prohibition against federal funding of inherently religious activities, "Understanding the Regulations Related to the Faith-Based and Neighborhood Partnerships Initiative" are available at <http://www.hhs.gov/partnerships/about/regulations/>. Additional information, resources, and tools for faith-based organizations is available through The Center for Faith-based and Neighborhood Partnerships website at <http://www.hhs.gov/partnerships/index.html> and at the [Capacity Building Toolkits for Faith-based and Community Organizations](#).

### **Award Term and Condition under the Trafficking Victims Protection Act of 2000**

Awards issued under this announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. § 7104). For the full text of the award term, go to <http://www.acf.hhs.gov/grants/award-term-and-condition-for-trafficking-in-persons>. If you are unable to access this link, please contact the Grants Management Contact identified in *Section VII. Agency Contacts* of this announcement to obtain a copy of the term.

### **Requirements for Drug-Free Workplace**

The Drug-Free Workplace Act of 1988 (41 U.S.C. §§ 8101-8106) requires that all organizations receiving grants from any federal agency agree to maintain a drug-free workplace. By signing the application, the Authorizing Official agrees that the grantee will provide a drug-free workplace and will comply with the requirement to notify ACF if an employee is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. Government-wide requirements for Drug-Free Workplace for Financial Assistance are found in 2 CFR part 182; HHS implementing regulations are set forth in 2 CFR § 382.400. All recipients of ACF grant funds must comply with the requirements in Subpart B - Requirements for Recipients Other Than Individuals, 2 CFR § 382.225. The rule is available at [Requirements for Drug-Free Workplace](#).

### **Debarment and Suspension**

HHS regulations published in 2 CFR Part 376 implement the governmentwide debarment and suspension system guidance (2 CFR Part 180) for HHS' non-procurement programs and activities. "Non-procurement transactions" include, among other things, grants, cooperative agreements, scholarships, fellowships, and loans. ACF implements the HHS Debarment and Suspension regulations as a term and condition of award. Grantees may decide the method and frequency by which this determination is made and may check the Excluded Parties List System (EPLS) located at <https://www.sam.gov/>, although checking the EPLS is not required. More information is available at <https://www.acf.hhs.gov/grants-forms>.

### **Pro-Children Act**

The Pro-Children Act of 2001, 20 U.S.C. §§ 7181 through 7184, imposes restrictions on smoking in facilities where federally funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of

kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity.

## **HHS Grants Policy Statement**

The HHS Grants Policy Statement (HHS GPS) is the Department of Health and Human Services' single policy guide for discretionary grants and cooperative agreements. ACF grant awards are subject to the requirements of the HHS GPS, which covers basic grants processes, standard terms and conditions, and points of contact, as well as important agency-specific requirements. Appendices to the HHS GPS include a glossary of terms and a list of standard abbreviations for ease of reference. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary that are specified in the Notice of Award (NoA). The HHS GPS is available at <https://www.acf.hhs.gov/grants/discretionary-competitive-grants>.

## **Freedom of Information Act (FOIA)**

Applications funded by federal grant programs are subject to disclosure under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, and are frequently requested under the FOIA. In accordance with the FOIA requirement to proactively disclose frequently requested materials at 5 U.S.C. § 552(a)(2)(D), and as part of on-going efforts to promote openness in government programs, ACF will post some of the top-ranked applications funded under this FOA in its online FOIA Reading Room at <http://www.acf.hhs.gov/e-reading-room>. As required under the FOIA, each of the top-ranked applications will receive appropriate redaction of specific information to protect personal privacy and competitively sensitive commercial information. Applications chosen for posting to the FOIA Reading Room will be placed on the internet website without further notice to the applicants.

## **Other Administrative and National Policy Requirements**

### ***Human Subjects Research***

Project activities funded through this grant program are considered research involving human subjects.

The applicant must comply with the HHS regulations at 45 CFR part 46 regarding the protection of human research subjects, unless the activities are exempt as specified in the regulation. Before engaging in ACF-supported human subjects research, an institution must:

1. hold or obtain a Federalwide Assurance (FWA) approved by the Office of Human Research Protections (OHRP); and
2. certify to ACF that the research has been reviewed and approved by an Institutional Review Board (IRB) designated in the FWA and will be subject to continuing review by an IRB.

As referenced in *Section IV.2. Required Forms, Assurances, and Certifications*, applicants proposing to conduct research activities with human subjects must submit the form *Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption (Common Rule)* with the application package; if the information is not available at the time of application, it must be submitted prior to the

award of a grant.

For more information, see <http://www.hhs.gov/ohrp/index.html>.

### ***Head Start Research, Demonstrations, and Evaluation***

Ownership of data, reports, proposals, and studies produced or developed under funding of this federal award are subject to section 649(f) of the Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007 (42 U.S.C. § 9844).

### **VI.3. Reporting**

Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. The frequency of required reporting is listed later in this section. Final reports may be submitted in hard copy to the Grants Management Office Contact listed in *Section VII. Agency Contacts* of this announcement. Instructions on submission of reports electronically will be provided with award documents.

#### **Performance Progress Reports (PPR)**

Notice of Award documents will inform grantees of the appropriate performance progress report form or format to use. Grantees should consult their Notice of Award documents to determine the appropriate performance progress report format required under their award. Performance progress reports are due 30 days after the end of the reporting period.

Final program performance reports are due 90 days after the close of the project period. For awards that implement the use of the SF-PPR, that form may be found under "Reporting" at <https://www.acf.hhs.gov/grants-forms>.

#### **Federal Financial Reports (FFR)**

As of February 1, 2011, HHS began the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the ACF will return it and require the recipient to complete the SF-425.

The transition strategy is allowing individual HHS Operating Divisions to select--from a limited number of options--the approach that best fits their programs and business process. This transition does not affect completion or submission of the cash reporting to the HHS Division of Payment Management's Payment Management System (PMS). The primary features of this transition for recipients are that OPDIVs that previously required electronic submission of the SF-269 will receive the SF-425 expenditure reports electronically and, until further notice, OPDIVs that have been receiving expenditure reports in hard copy will continue to do so.

All expenditure reports will be due on one of the standard due dates by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter as determined by the Operating Division. As a result, a recipient that receives awards from more than one OPDIV may be subject to more than one approach, but will not be required to change its current means of submission or be subjected to more than eight standard due dates.

Beginning with budget periods which end from January 1 - March 31, 2011, and for all budget periods thereafter, all affected ACF grantees will be required to submit an SF-425 report as frequently as is required in the terms and conditions of their award using due dates for reports to PMS.

**For budget periods ending in the months of:**

January 01 through March 31

April 01 through June 30

July 01 through September 30

October 01 through December 31

**The FFR (SF-425) is due to ACF on:**

April 30

July 30

October 30

January 30

Fillable versions of the SF-425 form in Adobe PDF and MS-Excel formats, along with instructions, are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms), [www.forms.gov](http://www.forms.gov), and on at <https://www.acf.hhs.gov/grants-forms>. Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis.

For planning purposes, ACF reporting periods for awards made under this announcement are as follows:

Program Progress Reports: Semi-Annually

Financial Reports: Semi-Annually

Awards issued as a result of this funding opportunity may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 CFR Part 170. See ACF's Award Term for Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement implementing this requirement and additional award applicability information at <https://www.acf.hhs.gov/grants/discretionary-competitive-grants>.

**SF-428 Tangible Property Report and SF-429 Real Property Status Report**

As of April 1, 2012, the Administration for Children and Families has been requiring the use of the SF-428 (Tangible Personal Property Form) as well as the SF-429 (Real Property Status Report).

The **SF-428** is a standard form used by awarding agencies to collect information related to tangible personal property (equipment and supplies) when required by a federal financial assistance award. The form consists of the cover sheet, SF-428, and three attachments to be used as required: Annual Report; Final (Award Closeout) Report and a Disposition Request/Report. A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information.

The **SF-429** is a standard report used by recipients of federal financial assistance to report real property status (Attachment A) or to request agency instructions on real property (Attachments B, C) that has been/will be provided as Government Furnished Property (GFP) or acquired (i.e., purchased or constructed) in whole or in part under a federal financial assistance award (i.e., grant, cooperative agreement, etc.). This includes real property that was improved using federal funds and real property that was donated to a federal project in the form of a match or cost share donation. This report is used for awards that establish a federal Interest on real property.

Beginning with budget periods ending September 30, 2012, and for all budget periods thereafter, all ACF grantees are required to submit (as applicable) an SF-428 and SF-429 report as frequently as required in the terms and conditions of their award(s).

The forms are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).

## VII. Agency Contacts

### Program Office Contact

Kathleen Dwyer  
c/o ICF International  
9300 Lee Highway  
Fairfax, VA 22031  
Phone: (877) 350-5913  
Email: [HSUPDual@icfi.com](mailto:HSUPDual@icfi.com)

### Office of Grants Management Contact

David Kadan  
c/o ICF International  
9300 Lee Highway  
Fairfax, VA 22031  
Phone: (877) 350-5913  
Email: [HSUPDual@icfi.com](mailto:HSUPDual@icfi.com)

### Federal Relay Service:

Hearing-impaired and speech-impaired callers may contact the Federal Relay Service for assistance at 1-800-877-8339 (TTY - Text Telephone or ASCII - American Standard Code For Information Interchange).

## VIII. Other Information

### Reference Websites

U.S. Department of Health and Human Services (HHS) on the Internet [http:// www.hhs.gov/](http://www.hhs.gov/).

Administration for Children and Families (ACF) on the Internet [http:// www.acf.hhs.gov/](http://www.acf.hhs.gov/).

Administration for Children and Families - GRANTS homepage [https:// www.acf.hhs.gov /grants](https://www.acf.hhs.gov/grants).

Catalog of Federal Domestic Assistance (CFDA) [https:// www.cfda.gov/](https://www.cfda.gov/).

Code of Federal Regulations (CFR) [http:// www.gpo.gov](http://www.gpo.gov).

United States Code (U.S.C.) [http:// www.gpoaccess.gov /uscode/](http://www.gpoaccess.gov/uscode/) .

All required Standard Forms (SF), assurances, and certifications are available on the ACF Grants-Forms page at [https:// www.acf.hhs.gov /grants -forms](https://www.acf.hhs.gov/grants-forms).

Grants.gov Forms Repository webpage at [http://www.grants.gov /agencies /afoms repository information.jsp](http://www.grants.gov/agencies/afoms_repository_information.jsp).

Versions of other Standard Forms (SF) are available on the Office of Management and

Budget (OMB) Grants Management Forms web site at

[http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/).

For information regarding accessibility issues, visit the Grants.gov Accessibility Compliance Page at

[http://www07.grants.gov/aboutgrants/accessibility\\_compliance.jsp](http://www07.grants.gov/aboutgrants/accessibility_compliance.jsp).

Sign up to receive notification of ACF Funding Opportunities at [www.Grants.gov](http://www.Grants.gov)

[http://www.grants.gov/applicants/email\\_subscription.jsp](http://www.grants.gov/applicants/email_subscription.jsp).

For descriptions of current and past Head Start research projects supported by the ACF Office of Planning, Research and Evaluation: <http://www.acf.hhs.gov/programs/opre/research/topic/overview/head-start>

Head Start Performance Standards:

<http://eclkc.ohs.acf.hhs.gov/hslc/standards/Head%20Start%20Requirements>

Head Start Parent, Family and Community Engagement (PFCE) Framework:

<http://content.cleverex.com/hslc/standards/IMs/2011/pfce-framework.pdf>

For more information about Research Connections: [www.researchconnections.org](http://www.researchconnections.org)

For information about preparing and archiving data: <http://www.icpsr.umich.edu/content/deposit/guide/>

For information and requirements regarding research activities involving human subjects: <http://www.hhs.gov/ohrp/index.html>

## Application Checklist

Applicants may use the checklist below as a guide when preparing your application package.

What to Submit	Where Found	When to Submit
DUNS Number (Universal Identifier) and Systems for Award Management (SAM) registration.	Referenced in <i>Section III.3. Other</i> in the announcement. To obtain a DUNS number, go to <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> . To register at SAM, go to <a href="http://www.sam.gov">http://www.sam.gov</a> .	A DUNS number and registration at SAM.gov are required for all applicants. Active registration at SAM must be maintained throughout the application and project award period.
SF-424 - Application for Federal Assistance and SF-P/PSL - Project/Performance Site Location(s)	Referenced in <i>Section IV.2. Required Forms, Assurances, and Certifications</i> . Found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a> and at the Grants.gov Forms Repository at <a href="http://www.grants.gov/agencies/aforms_repository_information.jsp">http://www.grants.gov/agencies/aforms_repository_information.jsp</a> .	Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .

<p>SF-424A - Budget Information - Non-Construction Programs and SF-424B - Assurances - Non-Construction Programs</p>	<p>Referenced in <i>Section IV.2. Required Forms, Assurances, and Certifications</i>. Found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a>.</p> <p>For electronic application submission, these forms are available on the FOA's Grants.gov "Download Opportunity Instructions and Application" page under "Download Application Package" in the section entitled, "Optional Documents."</p> <p>These forms are <b>required</b> for applications under this FOA:</p> <ul style="list-style-type: none"> <li>• Projects that include only non-construction activities must submit the SF-424A and SF-424B, along with the SF-424 and SF-P/PSL.</li> </ul>	<p>Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i>.</p>
<p>SF-424 Key Contact Form</p>	<p>Referenced in <i>Section IV.2. Required Forms, Assurances, and Certifications</i>. Found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a> and at the Grants.gov Forms Repository at <a href="http://www.grants.gov/agencies/aforms_repository_information.jsp">http://www.grants.gov/agencies/aforms_repository_information.jsp</a>.</p>	<p>Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i>.</p>
<p>Certification Regarding Lobbying</p>	<p>Referenced in <i>Section IV.2. Required Forms, Assurances, and Certifications</i>. Found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a>.</p>	<p>Submission is due with the application package. If it is not submitted with the application package, it may also be submitted prior to the award of a grant.</p>
<p>SF-LLL - Disclosure of Lobbying Activities</p>	<p>"Disclosure Form to Report Lobbying" is referenced in <i>Section IV.2. Required Forms, Assurances, and Certifications</i>. Found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a>.</p> <p>If applicable, submission of this form is required if any funds have been paid, or will be paid, to any person for influencing, or attempting to</p>	<p>If applicable, submission of this form is applicable, it is due prior at the time of application. It may also be submitted prior to the award of a grant.</p>

	<p>influence, an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan.</p>	
<p>Survey on Ensuring Equal Opportunity for Applicants</p>	<p>Private, non-profit organizations (not including private universities) are encouraged to submit the survey with their applications. Applicants applying electronically, may submit this survey along with the application as part of the appendix or as a separate document. Applicants submitting in paper, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with the application package.</p> <p>The survey is referenced in <i>Section IV.2</i>. The survey may be found at <a href="https://www.acf.hhs.gov/grants-forms">https://www.acf.hhs.gov/grants-forms</a>.</p> <p>The survey will not count in the page limitations.</p>	<p><b>Submission is voluntary.</b> Submission may be made with the application by the application due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i>. Or, it may be submitted prior to the award of a grant.</p>
<p>Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption (Common Rule)</p>	<p>Referenced in <i>Section IV.2. Forms, Assurances, and Certifications</i>. Additional information and necessary forms are available at <a href="http://www.hhs.gov/ohrp/assurances/forms/index.html">http://www.hhs.gov/ohrp/assurances/forms/index.html</a>.</p>	<p>Submission of the required information and forms is due with the application package by the due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i>. If the information is not available at the time of application, it must be submitted prior to the award of a grant.</p>
<p>Certification of Filing and Payment of Federal Taxes</p>	<p>Referenced in <i>Section IV.2. Forms, Assurances, and Certifications</i> of the announcement. The Certification may be found at <a href="http://www.acf.hhs.gov/grants-forms">http://www.acf.hhs.gov/grants-forms</a>.</p>	<p>If applicable to the applicant, it must be submitted prior to the award of a grant.</p>

Letter of Intent	Referenced in <i>Section IV.2. Project Description</i> .	Submission is due by the Letter of Intent due date found in the <i>Overview</i> and in <i>Section IV.3</i> .
Table of Contents	Referenced in <i>Section IV.2. The Project Description</i> .	Submission is due as part of the Project Description by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .
Project Summary/Abstract	Referenced in <i>Section IV.2. The Project Description</i> . The Project Summary/Abstract is limited to one single-spaced page.	Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .
The Project Description	Referenced in <i>Section IV.2. The Project Description</i> . This is the title for the project narrative that describes the applicant's plan for the project.	Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .
Logic Model	Referenced in <i>Section IV.2. The Project Description</i> .	Submission is due with the application package by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .
The Project Budget and Budget Justification	Referenced in <i>Section IV.2. The Project Budget and Budget Justification</i> of the announcement.	Submission of the Project Budget is required on the appropriate Standard Form (424A or 424C) is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .
Third-Party Agreements	Referenced in <i>Section IV.2. Project Description</i> .	If available, submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3</i> . If not available at the time

		of application submission, due by the time of award.
Proof of Non-Profit Status	Referenced in <i>Section IV.2. The Project Description, Legal Status of Applicant Entity.</i>	Proof of non-profit status should be submitted with the application package by the due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times.</i> If it is not available at the time of application submission, it must be submitted prior to the award of a grant.
Letters of Support	Referenced in <i>Section IV.2. The Project Description.</i>	Submission is due by the application due date listed in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times.</i>
Biographical Sketches or Resumes for Key Staff and Job Descriptions for Vacant Positions	Referenced in <i>Section IV.2. The Project Description.</i>	Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times.</i>
Organizational Charts	Referenced in <i>Section IV.2. The Project Description.</i>	Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times.</i>