

## **OVERVIEW**

### **Federal Agency:**

Social Security Administration, Office of Research Evaluation and Statistics

### **Title:**

Retirement Research Consortium

### **Announcement Type:**

New Announcement

### **Funding Opportunity Number:**

RRC-RRC-13-001

### **Catalog of Federal Domestic Assistance (CFDA) Number:**

CFDA 96.007, SSA Research and Demonstration

SSA announces the solicitation of applications for a cooperative agreement to re-compete the Retirement Research Consortium (RRC). SSA seeks applications in support of the RRC that will continue to serve as a national resource fostering high quality research, communication, and education on matters related to retirement policy. The Consortium may consist of one or more research centers. The Consortium's program purpose is to benefit the public through research, evaluation, and data development; dissemination; and training and education.

### **Dates:**

**Application Deadline:** The opening date of this announcement is the date of publication. The closing date for receipt of grant applications under this announcement is 5:00pm Eastern Standard Time on Friday, May 31, 2013.

### **Letter of Intent Deadline:**

Prospective applicants are asked to submit by May 1, 2013, a letter of intent that includes (1) the funding opportunity number and title; (2) a brief description of the proposed center; (3) the name, postal and e-mail addresses, and the telephone and fax numbers of the center's director; and (4) the identities of the key personnel and participating institutions. The letter of intent is not required, is not binding, and does not enter into the review process of a subsequent application. The sole purpose of the letter of intent is to allow SSA staff to estimate the potential review workload and avoid conflicts of interest in the review. The letter of intent should be sent to: Nick Love, RRC Letter of Intent, Office of Retirement and Disability Policy, Social Security Administration, 500 E St., SW., 9<sup>th</sup> Floor ITC Building, Washington, DC 20254-0001. E-mail: [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov).

### **Frequently Asked Questions:**

As questions come in regarding the programmatic content of this RFA, we will be posting a

running list of questions and answers on the web at <http://www.ssa.gov/policy/rrc/faq.html>. Submit questions to [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov). All potential applicants should monitor the website frequently to ensure that they have the latest updates and answers.

## **FULL TEXT ANNOUNCEMENT**

### **I. Funding Opportunity Description**

#### **A. Purpose**

As authorized under section 1110 of the Social Security Act, SSA announces the solicitation of applications for a cooperative agreement to re-compete a Retirement Research Consortium (RRC). SSA seeks applications in support of the RRC that will continue to serve as a national resource fostering high quality research, communication, and education on matters related to retirement policy. The Consortium may consist of one or more research centers. The Consortium's program purpose is to benefit the public through the following:

1. Research, evaluation, and data development. SSA expects the RRC to plan, initiate, and maintain a multi-disciplinary research program of high quality that will broadly cover retirement and Social Security program issues. A portion of the research effort can focus on the development of research data sources and providing opportunities to use non-publicly available data that can be accessed at restricted-use data sites, subject to the rules and requirements of those sites.
2. Dissemination. The RRC will disseminate policy research findings using a variety of media to inform the academic community, policymakers, and the public.
3. Training and education. The RRC will train and provide funding support for graduate students and postgraduates to conduct research on retirement policy related matters.

#### **B. The Role of the Center(s)**

##### **1. Priority Research Areas (PRAs)**

The successful applicant will develop and conduct a research and evaluation program that also appropriately balances dissemination and training activities directed toward understanding retirement policy. SSA has identified six priority research areas within the realm of retirement income policy. Reviewers will score favorably applications that feature high quality research projects that address the priority areas. The priority research areas are:

- a. Social Security and Retirement: We seek to understand how Social Security's programs influence the nature and timing of retirement and the claiming of benefits, and the impact of changes in Social Security program rules on Trust Fund solvency. We are also interested in applications of psychological theories of decision making to the retirement decision. Examples of research topics for this area include new insights on claiming behavior, behavioral responses to

policy reforms and economic conditions (including potential behavioral responses informed by previous research in behavioral economics and psychology), demand and supply of older workers, health and functional capacity of older workers with an emphasis on whether older workers can work longer given longer life expectancies, early retirement, retirement decisions of married couples, effects of voluntary individual accounts, and implications of changes in the Social Security retirement ages and other parameters of the Social Security program (e.g., tax rate, benefit amount, benefit computation.)

- b. **Macroeconomic Analyses of Social Security:** This includes the macroeconomic and financial effects of Social Security and changes in policy on national saving, investment, and economic growth. Macroeconomic analysis also includes, but is not limited to, the intertemporal effects of capital formation, retirement savings, and the unified budget. Examples of research topics include the study of demographic change on saving, effects of national tax policy on Social Security Trust funds, the impact on financial markets of Social Security reform, changes and trends in the earnings compensation ratio, the taxable share of earnings, labor compensation as a share of GDP, and earnings growth.
- c. **Wealth and Retirement Income:** This area considers the role of Social Security in retirement income and wealth accumulation. This area also includes analyses of other sources of retirement income and private savings such as employer-provided pensions, deferred compensation and individual retirement accounts, individual assets, and earnings from continued employment. Research in this area could also explore psychological and behavioral determinants of retirement saving as well as the application of behavioral insights from annuity markets to the Social Security annuity. Examples of research topics include the optimal design of retirement investment vehicles, the application of behavioral economics research to retirement savings decisions, effects of 401(k) and 403(b) plans on retirement wealth, measuring retiree well-being, and the distribution of retirement income sources among subgroups of interest.
- d. **Program Interactions:** This area covers interactions between current Old Age and Survivors' Insurance (OASI) and other public or private programs such as Supplemental Security Income (SSI), Medicare, and Medicaid, as well as private pension plans and personal saving. Interactions between OASI and Disability Insurance between the early entitlement age and the full retirement age also are of interest. Examples include studies of how Social Security program attributes (e.g., retirement ages, tax rates, benefit amounts, benefit computation, application rates) might affect or be affected by other public and private programs.
- e. **International Research:** The aim here is to learn from other countries' social insurance experiences. This includes cross-country comparisons of social, demographic, and institutional characteristics as well as studies of specific countries as they institute reform. Examples of research topics include cross-national comparisons of retirement policy reform, health insurance and

retirement behavior, and pension reform in various countries.

- f. Demographic Research: This area includes changes in mortality, fertility, immigration, health, and marital status, and their implications for retirement policy. Also included in this area are differences in the effects of Social Security policy alternatives among workers and beneficiaries by age, race/ethnicity, sex, and occupation. Examples of research topics include trends in fertility and mortality, labor market behavior of immigrants, marital histories and retirement income security, and health limitations and retirement behavior.

SSA realizes competent analysis of all priority research areas may be beyond the capacity of any one center and thus each center may wish to focus their individual resources and expertise on a subset of the areas listed above. Similarly, a center may choose to concentrate on a few aspects of the priority research areas more strongly than others. SSA expects each center to describe its quality assurance process. The goal of the Consortium as a whole is to produce high-quality research covering the range of objectives discussed above, across the separate priority areas. Regardless of the decision to focus an application on any particular research area, the applicant should demonstrate capacity to perform research across all of these priority topics.

## 2. Tasks

Each center will perform the following tasks:

- a. Research, evaluation, and data development. Each center will be expected to plan, initiate, and maintain a research program that meets the highest standards of rigor and objectivity.

Joint research between Consortium and SSA researchers is encouraged, as is collaboration with other organizations interested in retirement income policy. SSA is particularly interested in collaborative research arrangements that promote diversity, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition. Federal employees cannot receive any funding support for collaborations.

While planning and execution of the research program shall always consider the policy implications of research findings, SSA also considers it appropriate, for example, to engage in activities to make advances in research techniques, where these are related to primary objectives of the Consortium.

SSA recognizes the value of high-quality comprehensive micro-data for conducting policy research. The RRC should work to facilitate the development of micro-data sources as well as provide researchers with opportunities to use non-publicly available data for research purposes under secure conditions. Such efforts must adhere to clear privacy protection requirements. For example, RRC researchers may be allowed to access SSA administrative data, including administrative data files that have been linked to surveys sponsored by SSA or other federal agencies, at SSA sites by following the requirements of SSA and

those of other federal agencies. Researchers may be subject to background checks and fingerprinting in accordance with SSA personnel suitability requirements. SSA will distribute the necessary forms and consents for completion to awardees interested in accessing administrative data at SSA sites. RRC researchers can also access restricted data at other federal agency restricted data sites, such as those of the Census Bureau and the National Center for Health Statistics, subject to the rules and restrictions of those sites. Restricted data from the Health and Retirement Study (HRS) can be obtained after meeting HRS requirements for approval.

Examples of data improvement efforts include improving the quality of existing data sources and their documentation; aiding researchers to use administrative data extracts at SSA sites for policy-relevant research projects; developing sophisticated statistical techniques to mask micro-data; and developing new sources of data for retirement policy analysis.

To ensure the policy relevance, utility, and scope of the centers' research, evaluation, and data development goals, a group of nationally recognized scholars and practitioners (See Part I, Section C, Center Responsibilities) will periodically review the center's activities and provide assistance in formulating the center's research agenda and advice on implementation.

- b. Dissemination. Another important feature of each center's responsibilities is making knowledge and information available to the academic and policy communities and the public. The RRC will facilitate the process of translating basic behavioral and social research theories and findings into practical policy alternatives. The centers will be expected to maintain a dissemination system of quarterly newsletters, research papers, and policy briefs. These products should be accessible to the public via the Internet on a center-maintained Web site. In addition, the centers will be expected to organize conferences, workshops, lectures, seminars, or other ways of sharing current research activities and findings. The Consortium will hold an annual conference on issues related to retirement income policy, with organizational responsibility rotating among the centers. The centers will work with SSA to produce a conference agenda. The conference will be held in Washington, DC. The hosting center will also have the responsibility for preparing and distributing a bound volume consisting of five page summaries of conference papers and related materials to conference participants.

SSA encourages applicants to propose creative methods of disseminating data and information. Applications should show sensitivity to alternative dissemination strategies that may be appropriate for different audiences, such as policymakers, practitioners, the public, advocates, and academics. The research and dissemination will be nonpartisan and of value to all levels of policymaking. SSA reserves the right to review and approve or disapprove all dissemination, including publications, created using SSA funding through the Consortium.

Any form of documentation provided by the selected centers (i.e. training manual, user guides, embedded documents etc.), including any documentation deliverables required in the request for applications, shall be provided in a fully accessible format. The documents shall be provided in one of the following formats: Text, RTF, Microsoft Word or HTML format, or properly “tagged” PDF. Properly tagged PDFs can be verified by using Adobe Acrobat’s Accessibility Checker. Documentation delivered in a manner that is interactive (e.g., table of contents, index, search, etc.) shall be keyboard navigable, move focus to selected items (or have a keyboard alternative), and be comparable in keyboard access to mouse usage. All images (especially screenshots and technical diagrams that are the sole means for conveying instructions) should include alternative text explaining the image so that a person who is blind would understand the screenshot, chart, figure, etc. Documentation shall include information on the accessibility features of the product. If keyboard shortcuts are provided to allow access to program functionality, a list of the keyboard shortcuts shall be provided. Documentation that is delivered in a video or multimedia publication shall comply with the Section 508 requirements detailed in 36 CFR part 1194.24 and the functional performance criteria detailed in 36 CFR 1194 Subpart C. In addition, SSA requires conformance to SSA’s Accessibility Requirements for all video and multi-media deliverables. SSA does not accept text equivalents used to replace speech, and requires captions to be synchronized with speech. See <http://access-board.gov/508.htm> for additional information on accessibility and the Section 508 requirements.

Executive Order 13166 directs each agency providing federal financial assistance to issue guidance to recipients of such assistance on their legal obligations to take reasonable steps to ensure meaningful access for limited English proficient (LEP) persons under the national origin nondiscrimination provisions of Title VI of the Civil Rights Act of 1964, and implementing regulations (see [http://www.lep.gov/13166/AG\\_021711\\_EO\\_13166\\_Memo\\_to\\_Agencies\\_with\\_Supplement.pdf](http://www.lep.gov/13166/AG_021711_EO_13166_Memo_to_Agencies_with_Supplement.pdf)). Applicants should reference the LEP policy guidance for HHS recipients at <http://www.gpo.gov/fdsys/pkg/FR-2003-08-08/pdf/03-20179.pdf>. While designed to be a flexible and fact-dependent standard, the starting point is an individualized assessment that balances the following four factors: (1) The number or proportion of LEP persons eligible to be served or likely to be encountered by the program or grantee; (2) the frequency with which LEP individuals come in contact with the program; (3) the nature and importance of the program, activity, or service provided to people’s lives; and (4) the resources available to the grantee/recipient and costs. A recipient may conclude that different language assistance measures are sufficient for the different types of programs or activities in which it engages, or that, in certain circumstances, recipient-provided language services are not necessary. Applications should include plans for accommodating LEP persons in light of these four factors.

- c. Training and education. The RRC is expected to both train new scholars and to educate academics and practitioners on new techniques and research findings

on issues of retirement policy. SSA expects each center to develop and expand a diverse corps of scholars/researchers who focus their analytical skills on research and policy issues central to the consortium's mission.

SSA expects the centers to financially support the training and research of young scholars or scholars new to the field of retirement research. The RRC should allocate funding in a variety of ways. Examples include: dissertation fellowships to support PhD candidates, fellowships to support students in terminal Master's degree programs, internships for undergraduate and graduate students, and small research grants to support postdoctoral researchers and junior scholars. Applications solicited widely and nationally are encouraged. SSA is particularly interested in promoting diversity among training grant recipients, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition. Graduate students working with RRC researchers on funded projects as research assistants will be included in the research budget, not in the training budget. The centers will conduct educational seminars for government analysts and policymakers on the Consortium's research findings and methodological advancements.

- d. Reporting. Every three months during the award period, the grantee will produce a quarterly report of progress. The grantee's quarterly progress reports should provide a concise summary of the progress being made toward completion of activities in the annual work plan. The grantee should pay particular attention in the reports to achieving any milestones set forth in the work plan, delays in achieving milestones and the impact of delays on the final product. Details regarding the format of quarterly progress reports will be provided in the RRC Terms and Conditions at the time of award.

### C. Responsibilities

#### 1. Center Responsibilities:

The centers have the primary and lead responsibility to define objectives and approaches; plan research, conduct studies, and analyze data; and publish results, interpretations, and conclusions of their work.

Occasionally, SSA will request Quick Turnaround projects from the RRC. These projects include commenting on SSA research plans, providing critical commentary on research products, composing policy briefs, performing statistical policy analyses, and other activities designed to inform SSA's research, evaluation, and policy analysis function. Funding for these as well as other related activities should be included in the budget narrative at a level of \$40,000. The agency can raise the ceiling above \$40,000 for quick turnaround projects if both need and funds exist.

Jointly with SSA, each center will select six nationally recognized scholars and practitioners who are unaffiliated with any center to provide assistance in formulating the center's research agenda and to advise on implementation. Each center shall select three scholars/practitioners, and SSA will select three

scholars/practitioners. When choosing these scholar/practitioner advisors, both SSA and the centers will make an effort to assure a broad range of academic disciplines and political viewpoints. Funded under this agreement, the scholars/practitioners must meet once a year at the RRC Annual Conference in Washington, DC. On occasion, all centers' scholars/practitioners will meet to evaluate and provide advice on Consortium objectives and progress. Further, the centers may contact the scholars/practitioners throughout the year for suggestions regarding center activities. The SSA Program Officer or representative will participate in all meetings. Parties may participate via telephone or video as needed with approval from the SSA Program Officer or representative.

At SSA's discretion, there may be a meeting to discuss priority research areas for the upcoming budget period. SSA will be responsible for coordinating the meeting time, location, and agenda. Each center is responsible for sending their director(s), and up to three researchers or staff.

## 2. SSA Responsibilities:

SSA will be involved with the Consortium in jointly establishing research priorities and deliverable dates to accomplish the objectives of this announcement. SSA, or its representatives, will provide the following types of support to the Consortium:

- a. Consultation and technical assistance in planning, operating and evaluating the Consortium's activities.
- b. Information about SSA programs, policies, and research priorities.
- c. Assistance in identifying SSA information and technical assistance resources pertinent to the centers' activities.
- d. Review of Consortium activities and collegial feedback to ensure that objectives and award conditions are being met. SSA may suspend or terminate any cooperative agreement in whole or in part at any time before the date of expiration if the awardee materially fails to comply with the terms and conditions of the cooperative agreement, technical performance requirements are not met, or if the agency determines that it no longer wishes the project to continue. SSA will promptly notify the awardee in writing of the determination and the reasons for suspension or termination together with the effective date. SSA reserves the right to suspend funding for individual projects in process or in previously approved research areas or tasks after awards have been granted.

In general, SSA seeks organizations with demonstrated capacity for providing quality policy research and training, and working with government policymakers.

## **II: Award Information**

### A. Type of Award

All awards made under this program will be made in the form of a cooperative



agreement. A cooperative agreement, as distinct from a grant, anticipates SSA's substantial involvement during the performance of the project. A comprehensive annual review process will allow SSA to evaluate, recommend changes, and approve each center's activities. SSA's involvement may include collaboration or participation in the activities of the centers as determined at the time of award. The terms of award are in addition to, not in lieu of, otherwise applicable guidelines and procedures, and will be issued along with notice of award.

The grantee must apply to continue the cooperative agreement in order to receive funds in subsequent years of the 5-year agreement. The grantee will produce a continuation application, subject to review and approval by SSA. The continuation application should clearly describe a set of research, training, and dissemination activities that best address the priorities of SSA. SSA will engage in a dialogue with grantees throughout the award period regarding research topics. Based on that dialogue, SSA will provide the grantee with guidance (in writing) on the agency's research priorities for the subsequent continuation cycle.

#### B. Availability and Duration of Funding

1. We anticipate that approximately \$5.0 million will be available to fund the initial 12-month budget period of one or more five-year cooperative agreement(s) pursuant to the announcement.
2. Applicants must include detailed budget estimates for the first year, assuming a funding level of \$3.0 million.
3. The amount of funds available for the cooperative agreement in future years has not been established. Legislative support for continued funding of the RRC cannot be guaranteed and funding is subject to future appropriations and budgetary approval.
4. This announcement allows for the unequal division of funds among multiple chosen centers.
5. Additional funds may become available from SSA or other federal agencies in support of RRC projects.
6. SSA will make initial awards pursuant to this announcement on or about September 30, 2013. The performance period will run from September 30, 2013 through September 29, 2014.

Although we anticipate one or more awards, nothing in this announcement restricts our ability to make more or fewer awards, to make an award of a lesser amount, or to add additional centers to the RRC in the future. Further, we are not required to fund all (or any) proposed RRC activities in any year. In addition, SSA reserves the right to implement a salary cap in the future, which would limit the amount of salary that grantees and sub-grantees may charge to SSA grants and cooperative agreements. If

implemented, guidance will be included in the continuation application kit. We will review all proposed activities annually.

### III: Eligibility Information

#### A. Eligible Applicants

Only research organizations, universities, and associations of research organizations and universities in the United States are eligible to apply. SSA is particularly interested in promoting diversity among applicants, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition.

While this RFA does not target individuals for applications, SSA will maintain a list of interested researchers who are not affiliated with a proposed center for distribution to applicant organizations that are looking for affiliates. SSA cannot endorse any particular individual or organization or guarantee placement. Individuals should e-mail their contact information and areas of interest to [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov). Applicant organizations should e-mail [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov) to request a list of interested researchers.

#### B. Cost Sharing

SSA will not provide a center's entire funding. Recipients of an SSA cooperative agreement are required to contribute a non-Federal match of at least 5 percent toward the total approved cost of each center. Total approved cost of the project is the sum of the Federal share (maximum 95 percent) and the non-Federal share (minimum of 5 percent). The non-Federal share may be cash or in-kind (property or services) contributions.

#### C. Other

Each center director must have a demonstrated capability to organize, administer, and direct the center. The director (or co-directors) will be responsible for the organization and operation of the center and for communication with SSA on scientific and operational matters. The (co-)director(s) must also have a minimum total time commitment of 25 percent to RRC administrative activities; these responsibilities may be allocated across a maximum of three (3) co-directors. Racial/ethnic minority individuals, women, and persons with disabilities are encouraged to apply as directors. Submission of a list of previous grants and cooperative agreements held by the (co-)director(s) is required, including the names and contact information of each grant's and cooperative agreement's administrator. In addition to the (co-)director(s), skilled personnel and institutional resources capable of providing a strong research, development and testing base in the specified priority areas must be available. The institution must show a strong commitment to the RRC's support. Such commitment may be provided as dedicated space, salary support for investigators or key personnel, dedicated equipment or other financial support for the proposed center.

## IV: Applicant Submission Information

### A. Address to Request Application Package

We require that applicants submit an electronic application through <http://www.grants.gov/> for Funding Opportunity Number RRC-RRC-13-001. The Grants.gov “Get Registered” webpage is available to help explain the registration and application submission process. New federal grant applicants may find the Grants.gov “Registration Brochure” at the following link to be helpful ([http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)).

If you experience problems with the steps related to registering to do business with the Federal government or application submission, your first point of contact is the Grants.gov support staff at [support@grants.gov](mailto:support@grants.gov), 1-800-518-4726. If your Grants.gov difficulties are not resolved, you may also contact the SSA Grants Management Team for assistance: Audrey Adams, (410) 965-9469 or Dionne Mitchell, (410) 965-9534.

Should extenuating circumstances prevent you from submitting an application through [www.grants.gov](http://www.grants.gov), please contact Audrey Adams for further instruction.

As questions come up in regarding the programmatic content of this RFA, we will be posting a running list of Frequently Asked Questions and answers on the web at <http://www.ssa.gov/policy/rrc/faq.html>. Submit questions to [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov). All potential applicants should monitor the website frequently to ensure that they have the latest updates and answers.

### B. Content and Form of Application Submission

As stated above, we require that applicants submit an electronic application through [www.grants.gov](http://www.grants.gov) for Funding Opportunity Number RRC-RRC-13-001.

A complete application package consists of one electronic application. It should include the following items:

1. Project Abstract/Summary (not to exceed three pages);
2. Table of Contents;
3. Part I (Face Sheet)—Application for Federal Assistance (Standard Form 424);
4. Part II—Budget Information
5. Form SF-424A—Sections A through F
6. Budget Narrative for Section B—Budget Categories (refer to appropriate Cost Principals for guidance on allowable costs see Section VI-Administrative and National Policy Section for hyperlinks);
  - a. The Personnel category must include salary and fringe breakdown for all key personnel being charged to the grant (for recommended format, see sample

worksheet at:

[http://www.ssa.gov/oag/grants/current/ssa\\_personnel\\_calc\\_spreadsheet.xlsx](http://www.ssa.gov/oag/grants/current/ssa_personnel_calc_spreadsheet.xlsx)).

- b. Other Support (Federal and Non-Federal)
- c. Budget Justification – In the preparation of your budget and budget narrative please include a full justification and computations for each expense. You may submit the budget and budget narrative using the format of your choice, word document or spreadsheets. However all required information (including the budget narrative) must be provided. Please use the following categories:
  - i. **Personnel** – List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.
  - ii. **Fringe Benefits** – Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.
  - iii. **Travel** – Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.
  - iv. **Equipment** – List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization’s own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.
  - v. **Supplies** – List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization’s own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

- vi. **Consultants/Contracts** – Indicate whether applicant’s formal, written Procurement Policy or the Federal Acquisition Regulations are followed. **Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. **Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.). **Contracts:** Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.
- vii. **Other Costs** – List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.
- viii. **Indirect Costs** – Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant’s accounting system permits, costs may be allocated in the direct costs categories.
- ix. **Cost Share** – Clearly identify category and amount of match, including calculation
- x. **Indirect Costs** – Indicate the indirect cost requested. If lower than negotiated rate, include a detailed explanation.
- xi. **Budget Summary** – Please include a summary with the following information:

<b>Budget Summary</b>			<b>Amounts</b>
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Consultants/ Contracts			
G. Other Costs			
Total Direct Costs			
H. Indirect Costs			
<b>TOTAL PROJECT COSTS</b>			

- d. Copy of the applicant's approved indirect cost rate agreement;
7. Part III—Project Narrative. The project narrative should be organized in five sections. Sections a through d are not to exceed 150 pages in total length.
- a. *Background Analysis.* A brief (not more than 20 pages) background analysis of the key retirement policy issues and trends with a focus on the primary research themes of the proposed center. The analysis should discuss concisely, but comprehensively, important priority research issues and demonstrate the applicant's grasp of the policy and research significance of recent and future social, economic, political, health, and demographic issues.
  - b. *Research, Evaluation, and Data Development Prospectus.* A research and evaluation prospectus for a five-year research agenda, outlining the major research themes to be investigated over the next five years. In particular, the prospectus will describe the activities planned for the priority research areas and other additional research topics proposed by the applicant. The prospectus should discuss the kind of research activities that are needed to both address current retirement issues and anticipate future policy debates. The prospectus should follow from the background analysis section. It may, of course, also discuss research areas and issues that were not mentioned in the analysis if the author(s) of the application feel there have been gaps in past research, or that new factors have begun to affect or will soon begin to affect national retirement policy. If a center intends to enhance data for retirement research purposes, they should include a discussion of the technical expertise of center staff and proposed mechanisms to facilitate data sharing.

The prospectus shall include detailed descriptions of individual research projects that are expected to be completed in the center's first year of operation. The prospectus should be specific about long-term research themes and projects. The lines of research described in the prospectus should be concrete enough that project descriptions in subsequent research plan amendments can be viewed as articulating a research theme discussed in the prospectus. An

application that contains an ad hoc, unstructured set of research projects, rather than a set of projects that strike coherent themes, will be judged unfavorably.

Note: Once a successful RRC applicant has been selected, SSA will review the RRC research agenda and determine research priorities. This may include the addition, modification, or removal of proposed research projects. After review, each center will submit to SSA a revised research plan and budget. The research plan may be periodically reviewed and revised as necessary during the award period. The application should discuss how the centers select research projects to propose, including involvement of the outside scholars/practitioners, SSA, and other advisors and participants in the RRC.

- c. *Dissemination Prospectus.* A prospectus for dissemination, including ways to reach a broad audience of researchers, policymakers, and the public. Innovative and cost-effective mechanisms to reach a broad audience are encouraged.
- d. *Training and Education Prospectus.* A prospectus for training and education, including proposed training and educational strategies. The prospectus should specifically address how the proposed training and educational strategies will promote diversity, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition.
- e. *Staffing Proposal, Including Staff Use, Background, and Organizational Experience.* A staffing and organization proposal for the center, including an analysis of the types of background needed among staff members, the center's organizational structure, and linkages with the host institution and other organizations. In this section, the applicant should specify how it will assure an effective approach to research, and where appropriate, identify the necessary links to university departments, other organizations and scholars engaged in research and government policymaking.

The applicant should identify the center director and key senior research staff. Full resumes of proposed staff members must be included as a separate appendix to the application. The time commitment to the center and other commitments for each proposed staff member must be included. The application should specify how administrative arrangements would be made to minimize start-up and transition delays. Note that once the cooperative agreement has been awarded, changes in key staff will require prior approval from SSA. The kinds of administrative and employment arrangements, if any, the center proposes to make should also be discussed in this section. In addition, the authors of the application and the role that they will play in the proposed center must be specified.

This section shall discuss the financial arrangements for supporting research assistants, dissertation fellowships, affiliates, resident scholars, etc. The discussion should include the expected number and type of scholars to be supported and the level of support anticipated.

This section shall discuss the diversity of the staffing proposal of the proposed center, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition.

If the applicant envisions an arrangement of several universities or entities, this section should describe the specifics of the relationships, including leadership, management, and administration. The staffing proposal should pay particular attention to discussing how a focal point for research, training, and scholarship will be maintained. Each center must have a major presence at a single site; however, alternative arrangements among entities and with individual scholars are encouraged and may be proposed. Applicants should also address their ability and willingness to incorporate new researchers or affiliates during the 5-year grant period.

The application also should discuss the role, selection procedure, and expected contribution of the outside scholars.

The application should provide a summary of past work at the institution proposed as the center that relates directly or indirectly to the research priorities of this request. This discussion should include more than a listing of the projects completed by the individuals who are included in the application. It should provide a sense of institutional commitment to policy research on issues involving retirement policy. The application must list in an appendix appropriate recent or current research projects, with a brief research summary, contact person, references, and address, telephone number, and email addresses of references.

This section should also discuss the experience of the research staff in working with the government agencies and their demonstrated capacity to provide policy relevant support to these agencies.

8. Assurances—

*(a) Form SF-424B*

9. Disclosure of Lobbying Activities, Form SF-LLL, if applicable (See Section VI-Administrative and National Policy for 20 CFR Part 438).

10. Any appendices/attachments (include letters of support here)- Any files uploaded or attached to the Grants.gov application must be of the following file formats and must contain a valid file format extension in the filename – Microsoft Word, Excel or PowerPoint, Corel WordPerfect, ASCII Text, Adobe PDF, or image formats (JPG, GIF, TIFF, or BMP only). Even though Grants.gov allows applicants to attach any file format as part of their application, SSA restricts this practice and only accepts the file formats identified above. Any file submitted as part of the Grants.gov application that is not in a file format identified above, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process. In addition, the use of compressed file formats such as ZIP or RAR



will not be accepted. The application must be submitted in a file format that can easily be copied and read by reviewers. It is recommended that scanned copies not be submitted through Grants.gov unless the applicant confirms the clarity of the documents. Pages cannot be reduced resulting in multiple pages on a single sheet to avoid exceeding the page limitation. All documents that do not conform to the above will be excluded from the application during the review process

C. Submission Dates and Times

Prospective applicants are asked to submit, preferably with an e-mail attachment, by May 1, 2013, an e-mail, fax, postcard or letter of intent that includes (1) the program announcement number (RRC-RRC-13-001) and title (Retirement Research Consortium); (2) the name of the organization that is applying and (3) the name, mailing address, e-mail address, telephone number and fax number for the organization's contact person. The letter of intent is not required, is not binding, and does not enter into the review process of a subsequent application. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. The letter of intent should be faxed to (202) 358-6187 or mailed to Nick Love, RRC Letter of Intent, Office of Retirement and Disability Policy, Social Security Administration, 500 E Street SW, 9<sup>th</sup> Floor ITC Building, Washington, DC 20254. E-mail: [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov).

Applicants must submit applications through [www.grants.gov](http://www.grants.gov) by 5:00pm Eastern Standard Time on **Friday, May 31, 2013**. In cases when the SSA Grants Management Team approves the submission of a mailed application due to extenuating circumstances, applications may be mailed or hand-delivered to: Social Security Administration, Office of Acquisition and Grants, Grants RRC-RRC-13-001, 1st Floor-Rear Entrance, 7111 Security Blvd., Baltimore, MD 21244. Hand-delivered applications are accepted between the hours of 8 a.m. and 5 p.m., Monday through Friday. An application will be considered as meeting the deadline if it is either:

1. Received from Grants.gov on or before the deadline date; or
2. Received at the above address on or before the deadline, when a mailed application has been authorized by the Grants Management Team; or
3. In the event that a package has been approved for mailing by the Grants Management Team, the package must be sent through the U.S. Postal Service or by commercial carrier. If the package is sent via the U.S. Postal Service it must be postmarked May 31, 2013 or earlier. If the package is sent via commercial carrier it must be delivered to the Grants Management team on or before the deadline date to be considered during the competitive review and evaluation process. Applicants are cautioned to request a legibly dated U.S. Postal Service postmark or to obtain a legibly dated receipt from a commercial carrier as evidence of timely mailing. Private metered postmarks are not acceptable as proof of timely mailing. Applications that do not meet the above criteria will be considered late applications. We will not waive or extend the deadline for any applicant unless we waive or extend the

deadline for all applicants. We will notify each late applicant of non-application consideration.

D. Intergovernmental Review

*Executive Order 12372 and 12416—Intergovernmental Review of Federal Programs*

This program is not covered by the requirements of Executive Order 12372, as amended by Executive Order 12416, relating to the Federal policy for consulting with State and local elected officials on proposed Federal financial assistance.

*Catalog of Domestic Federal Assistance: Program No. 96.007, SSA Research and Demonstration*

E. Funding Restrictions

The grantee must apply to continue the grant to receive funds in subsequent years of the five-year grant. The grantee will produce a continuation application, subject to review and approval by SSA. Awards are contingent on availability of continuation funding.

At SSA's discretion, there may be a meeting to discuss priority research areas for the upcoming budget period. SSA will be responsible for coordinating the meeting time, location, and agenda. Each center is responsible for sending their director(s), and up to three researchers or staff.

F. Other Submission Requirements

We require that applicants submit an electronic application through [www.grants.gov](http://www.grants.gov) for Funding Opportunity Number RRC-RRC-13-001. Before an applicant, institution/organization can submit an electronic application, please go to [www.grants.gov](http://www.grants.gov) and follow the steps under the "Get Registered" link. Please note:

1. Your organization will need to obtain a Data Universal Number System (DUNS) number and register with SAM/E-Biz POC as part of the Grants.gov registration process (see Section VI-Administrative and National Policy for 2 CFR Subtitle A, Chapter 1 and Part 25).
2. If your organization does not have a Taxpayer Identification Number (TIN) or Employer Identification Number (EIN), allow for extra time. A valid TIN or EIN is necessary for SAM registration.
3. The SAM registration also validates the EIN against Internal Revenue Service records, a step that will take an additional one to two business days. See Section IV, B. (10) above for requirements of file formats of attachments uploaded with grant applications.

Registering an account with SAM is a separate process from submitting an application. Applicants are encouraged to register early. In some cases, the registration process can

take approximately two weeks to be completed. Therefore, registration should be completed in sufficient time to ensure that it does not impair your ability to meet required submission deadlines.

Applicants were previously required to register with the CCR. However, SAM has integrated the CCR and 7 other Federal procurement systems into a new, streamlined system. If an applicant has an active record in CCR, there will be an active record in SAM. Nothing more is needed unless a change in the business circumstances requires updates to the Entity record(s) in order for the applicant to be paid, receive an award, or to renew the Entity prior to expiration. Please consult the SAM website listed above for additional information.

Applicants must successfully register with SAM prior to submitting an application or registering in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) as a prime awardee user. See Section IV, Application and Submission Information, for more guidance on SAM registration. Prime recipients must maintain a current registration with the SAM database, and may make sub awards only to entities that have DUNS numbers.

Organizations must report executive compensation as part of the registration profile at <https://www.sam.gov/portal/public/SAM/> by the end of the month following the month in which this award is made, and annually thereafter (based on the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended by section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170)). See Section VI, Award Administration Information, for more information on FFATA.

If you experience problems with the steps related to registering to do business with the federal government or application submission, your first point of contact is the Grants.gov support staff at [support@grants.gov](mailto:support@grants.gov), 1-800-518-4726. If your Grants.gov difficulties are not resolved, you may also contact the SSA Grants Management Team for assistance: Audrey Adams, (410) 965-9469 or Dionne Mitchell, (410) 965-9534.

Should extenuating circumstances prevent you from submitting an application through [www.grants.gov](http://www.grants.gov), please contact Audrey Adams for possible prior approval to download, complete, and submit an application by mail.

#### *Guidelines for Application Submission*

These guidelines should be followed in submitting applications:

1. Standard Forms: All applicants requesting our funds for grants/grant projects under this announcement must submit the standard forms provided in the application kit.
2. Authorized Official: The application must be executed by an individual authorized to act for the applicant organization and to assume for the applicant organization the obligations imposed by the terms and conditions of the grant award.

3. Length: Applications should be as brief and concise as possible, but ensure successful communication of the applicant's proposal to the reviewers. The project narrative portion of the application may not exceed 150 double-spaced pages (excluding the resume and outside funding appendices), equivalent to being typewritten on one side using standard (8 ½" x 11") size paper and 12-point font. Attachments that support the project narrative count within the 150-page limit. Attachments not applicable to the project narrative (including letters of support), do not count toward this page limit.
4. Attachments/Appendices: should only be included to provide supporting documentation. See Section IV, B. (10) above for file format requirements of attachments uploaded with grant applications.
5. Lead Organization: On all applications developed by more than one organization, the application must identify only one institution as the lead organization and the official applicant. The other(s) can be included as sub-grantees or subcontractors.

## **V: Application Review Information**

### **A. Criteria**

The evaluation criteria correspond to the outline for the development of the Budget and Project Narrative Statement of the application described above. The application should be prepared in the format indicated by the outline described in the components of a complete application.

Selection of the successful applicant(s) will be based on the technical and financial criteria laid out in this announcement. Reviewers will determine the strengths and weaknesses of each application in terms of the evaluation criteria listed below.

The point value following each criterion heading indicates the maximum numerical relative weight that each section will be given in the review process. An unacceptable rating on any individual criterion may render the application unacceptable. Consequently, applicants should take care that all criteria are fully addressed in the applications. Applications will be reviewed as follows:

#### *1. Quality of the background analysis. (10 points)*

Applications will be judged on whether they provide a thoughtful and coherent discussion of political, economic, social, health, and demographic issues influencing retirement policy. Reviewers will judge applicants' abilities to discuss the past, present, and future role of government programs and policies that affect these issues and how these are tied to their proposed research agenda. Reviewers will also judge applicants' ability to identify useful and practical connections between research findings and program policy.

#### *2. Quality of the research and evaluation prospectus. (40 points)*

Reviewers will judge this section on whether the research agenda is scientifically

sound and policy relevant. They also will consider whether the applicant is likely to produce significant contributions to his or her proposed research areas and how closely the proposed projects fit the objectives for which the applications were solicited.

The application will be judged on the breadth and depth of the applicant's commitment to research and evaluation of the priority research areas described in Part I, Section B, part 1. The discussion and research proposed must address at least three priority research areas, preferably with a multi-disciplinary approach. Applicants will generally receive higher scores for addressing more than three priority research areas. However, a strong proposal focusing on three areas will outscore one that is broad and weakly defined. Applicants with additional insightful research proposals will also score higher. Besides detailed plans for research projects in the first year, the research agenda should discuss possible projects over the longer five-year horizon. Reviewers will rate applications on the contents of the plans to conduct policy relevant research.

3. *Quality of the Dissemination Prospectus. (15 points)*

Reviewers will evaluate strategies for dissemination of research and other related information to a broad and disparate set of academic, research, and policy communities as well as to the public. Reviewers will also evaluate whether the appropriate dissemination method is being proposed for targeted audiences of academics and researchers, policymakers, and the public. Proposed strategies that increase dissemination across centers and other organizations conducting retirement research will also receive higher ratings.

4. *Quality of the Training Prospectus. (10 points)*

The evaluation of the training and education prospectus will include an assessment of plans to enhance the training of graduate students and young scholars through direct financial support as well as exposure to policy research. An approach that solicits applications widely and from across the nation is encouraged. An approach that promotes diversity among training grant recipients, where diversity is defined broadly in terms of research disciplines, institutional composition, and demographic composition is encouraged. An approach that solicits applications calling for clear linkages between research results and program policy is also encouraged. In addition, reviewers will evaluate proposed strategies for educating and training policymakers on issues of retirement is encouraged.

5. *Quality of the staffing proposal and proposed administration. (15 points)*

Reviewers will judge the applicant's center director and staff on research experience, demonstrated research skills, administrative skills, public administration experience, and relevant policy-making skills. An additional criterion will be the center's demonstrated potential to act as a conduit between applied behavioral and social science research and policy analysis/evaluation.

Evidence of past involvement in related research and the specific plans for seeking applied outcomes described in the application will be considered. The center's research team should include a diverse mix of experienced researchers with demonstrated expertise in a broad range of relevant fields such as economics (including behavioral economics), sociology, demography, public health, health sciences, public policy and administration, education, psychology, social work, and political science. Reviewers may consider references from grant/cooperative agreement administrators on previous grants and cooperative agreements held by the proposed center director or other key personnel. Director and staff time commitments to the center also will be an evaluation factor. Reviewers will evaluate the affiliations of proposed key personnel to ensure the required multi-disciplinary nature of the RRC is being fulfilled.

Applicants will be judged on the nature and extent of the organizational support for research, mentoring scholars, and dissemination in areas related to the center's central priorities and this request. Reviewers will evaluate the commitment of the host institution (and the proposed institutional unit that will contain the center) and its ability to support all three of the center's major activities: (1) research, evaluation, and data development; (2) dissemination; (3) education and training.

6. *Appropriateness of the budget for carrying out the planned staffing and activities. (10 points)*

Reviewers will consider whether (1) the budget assures an efficient and effective allocation of funds to achieve the objectives of this solicitation, and (2) the applicant has additional funding from other sources, in particular, the host institution. Applications that show funding from other sources that supplement funds from this cooperative agreement will be given higher marks than those without financial support. Awardees are required to contribute a minimum of 5 percent cost share of total project costs.

B. Review and Selection Process

In addition to any other reviews, a review panel consisting of at least three persons selected from across SSA components with demonstrated expertise in retirement research and/or programmatic policy will be formed. Each panelist will objectively review and score the cooperative agreement applications using the evaluation criteria listed above. The panel will recommend centers based on (1) the application scores; (2) the feasibility and adequacy of the project plan and methodology; and (3) how the centers would jointly meet the objectives of the RRC. SSA will consider the panel's recommendations when awarding the cooperative agreements. Although the results from the review panel are the primary factor used in making funding decisions, they are not the sole basis for making awards. SSA will consider other factors as well (including but not limited to duplication of internal and external research effort) when making funding decisions. It is also a national policy to place a fair share of purchases with small, minority, and women-owned business firms and to utilize the services of Historically Black Colleges and Universities (HBCUs), whenever possible. SSA is strongly

committed to the objectives of this policy and encourages all recipients of its grants and cooperative agreements to take affirmative steps to ensure such fairness. Any such affiliations should be noted in the application for appropriate consideration. Once each application is scored and ranked, the panel will review the top applicants and recommend centers that together best address the range of responsibilities described in Part I.

All applicants must use the guidelines provided in the SSA application kit at [www.grants.gov](http://www.grants.gov) for preparing applications requesting funding under this cooperative agreement announcement. These guidelines describe the minimum amount of required project information. However, when completing the Project Narrative, please follow the guidelines listed above.

All awardees must adhere to SSA's Privacy and Confidentiality Regulations (see Section VI-Administrative and National Policy for 20 CFR Part 401) as well as provide specific safeguards surrounding client information sharing, paper/computer records/data, and other issues potentially arising from administrative data.

Protection of Personally Identifiable Information (PII)-Grantees may be subject to our background checks and fingerprinting in accordance with our personnel, security and suitability requirements. In addition, grantees are required to adhere to our policy regarding the protection of PII. When making awards, we will distribute the necessary packages including forms and consents for completion, for both PII and Suitability Determination as needed.

C. Anticipated Announcement and Award Dates

SSA anticipates issuing awards by September 30, 2013. SSA will notify successful applicants on or before September 30, 2013.

**VI: Award Administration Information**

A. Award Notices

Applicants that have been selected will receive an official electronic notice of award signed by an SSA Grants Management Officer around September 30, 2013. Those who were not selected will be notified by official letter.

B. Administrative and National Policy

All applicants, grant recipients, and subrecipients are subject to the following as they apply:

**Financial Assistance use of Universal Identifier and Central Contractor Registration**

**2 CFR Subtitle A, Chapter 1, and Part 25.** This requires all grantees and first-tier subgrantees (other than individuals) to have a Dun and Bradstreet Data Universal

Numbering System (DUNS) numbers and maintain current registrations in the Central Contractor Registration (CCR) database. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr25\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr25_main_02.tpl) and [https://www.sam.gov/portal/public/SAM/.](https://www.sam.gov/portal/public/SAM/)

### **Requirements for Federal Funding Accountability and Transparency Act (FFATA) Implementation**

**2 CFR Part 170.** This requires all grantee organizations to report sub-awards and executive compensation under federal assistance awards via a specified website. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl) and [www.fsrs.gov](http://www.fsrs.gov)

### **Trafficking in Persons: Grants and Cooperative Agreements**

**2 CFR Part 175.** This regulation requires that all awarding agencies include a condition authorizing termination of the award if the grantee or a sub-grantee engages in certain activities related to trafficking in persons. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr175\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr175_main_02.tpl)

### **Cost Principles for Educational Institutions**

**2 CFR Part 220.** This section establishes the principles for determining costs applicable to grants and cooperative agreements with educational institutions. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr220\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr220_main_02.tpl)

### **Cost Principles for State, Local, and Indian Tribal Governments**

**2 CFR Part 225.** This section establishes the principles for determining costs for federal awards carried out through grants and cooperative agreements with state and local governments, and federally recognized Indian tribal governments. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr225\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr225_main_02.tpl)

### **Cost Principles for Non-Profit Organizations**

**2 CFR Part 230.** This section establishes principles for determining costs of grants and cooperative agreements with nonprofit organizations. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr230\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr230_main_02.tpl)

### **Nonprocurement Debarment and Suspension**



**2 CFR Part 2336.** This section adopts the Office of Management and Budget guidance in subparts A through 1 of 2 CFR Part 180, as supplemented by this part as the SSA policies and procedures for nonprocurement debarment and suspension.

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&rgn=div8&view=text&node=2:1.2.16.11.1.0.15.1&idno=2> and [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr180\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr180_main_02.tpl)

### **Privacy and Disclosure of Official Records and Information**

**20 CFR Part 401.** This section describes SSA's policies and procedures for implementing the requirements of the Privacy Act of 1974, 5 U.S.C. 552a and section 1106 of the Social Security Act concerning disclosure of information about individuals, both with and without their consent. <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=a698569ed966bc36f0732b38075798ff&rgn=div8&view=text&node=20:2.0.1.1.2.1.1.1&idno=20>

### **Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-Profit Organizations and Commercial Organizations**

**20 CFR Part 435.** For the specified type of grantee organizations, these administrative requirements apply to all grantees and sub-grantees awarded an SSA grant or cooperative agreement. [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title20/20cfr435\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title20/20cfr435_main_02.tpl)

### **Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**

**20 CFR Part 437.** For the specified type of grantee organizations/agencies, these administrative requirements apply to all grantee and sub-grantees awarded an SSA grant or cooperative agreement. <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?type=simple;c=ecfr;cc=ecfr;sid=19add9f70bb13b678cb09a05c336a565;region=DIV1;q1=20%20CFR%20Part%20435;rgn=div5;view=text;idno=20;node=20%3A2.0.1.1.19>

### **Restrictions on Lobbying**

**20 CFR Part 438.** This regulation prohibits the use of any appropriated funds to pay any person for influencing or attempting to influence an officer or employee of SSA, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any of the following: awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=4d4e4cd3c0761d790499244346a7c26f&tpl=/ecfrbrowse/Title20/20cfr438\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=4d4e4cd3c0761d790499244346a7c26f&tpl=/ecfrbrowse/Title20/20cfr438_main_02.tpl)

### **Security Administration Implementation of OMB Guidance for Drug-Free Workplace Requirements**

**20 CFR Part 439, (2 CFR Part 2339).** This section requires that the award and administration of SSA grants and cooperative agreements comply with the OMB guidance implementing the portion of the Drug-Free Workplace Act of 188.

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&rgn=div8&view=text&node=2:1.2.16.11.2.0.15.1&idno=2> and [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr182\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19add9f70bb13b678cb09a05c336a565&tpl=/ecfrbrowse/Title02/2cfr182_main_02.tpl)

### **Audits of States, Local Governments, and Nonprofit Organizations**

**OMB Circular A-133.** This circular establishes standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and nonprofit organizations expending federal awards.

<http://www.whitehouse.gov/sites/default/files/omb/circulars/a133/a133.pdf>

## **C. Reporting**

### **1. Program Progress Reports**

Every three months during the award period, the grantee will produce a progress report. The grantee's quarterly progress reports should provide a concise summary of the progress being made toward completion of activities in the annual work plan. The grantee should pay particular attention reporting on achieving any milestones set forth in the work plan, delays in achieving milestones, and the effect of delays on the final product. Details regarding the format and due dates of quarterly progress reports will be provided in the Terms and Conditions at the time of award.

### **2. Financial Status Reports**

In addition, the grantee will submit semi-annual financial status reports to SSA. We will provide detailed instructions for submitting financial reports and the required forms with each year's award.

### **3. Sub-award reporting**

Grant recipients must report each action that obligates \$25,000 or more in federal funds for a subaward to an entity. Specific instructions for reporting sub-awards are included in the Federal Regulation 2 CFR Part 170 (see Administrative and National Policy above).

## **VII: Agency Contact(s)**

For matters related to the application and submission process for this grant/grant, contact Audrey Adams, (410) 965–9469 or Dionne Mitchell, (410) 965–9534. The mailing address is SSA, Office of Acquisition and Grants, Grants Management Team, 7111 Security Blvd., 1st Floor, Rear Entrance, Baltimore, MD 21244. The fax number is (410) 594-0133.

For information on the program content of the announcement/application, submit questions to [RRC.ORES@ssa.gov](mailto:RRC.ORES@ssa.gov)