U.S. Department of Health and Human Services

Office of the National Coordinator for Health Information Technology

Notice of Funding Opportunity

Tracking Use and Impacts of Health IT on U.S. Office-Based Physicians

Application Due Date: 09/11/2020

Anticipated Award Date: September 30, 2020

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Executive Summary

Through this notice of funding opportunity (NOFO), the Office of the National Coordinator for Health Information Technology (ONC) is accepting applications for a cooperative agreement to measure the use of health information technology (IT) among office-based physicians. The purpose of this cooperative agreement is to measure the use and impacts of health IT, and level of interoperability among a nationally representative sample of U.S. office-based physicians. The cooperative agreement is intended to produce national-level data on interoperability and use of health IT by office-based physicians. These data shall provide national-level insights on the implementation and effects of federal health IT policies as well as identify disparities or unintended consequences resulting from their implementation. The cooperative agreement recipient is encouraged to make the key findings of the cooperative agreement publically available via their website; peer-reviewed publications in biomedical journals; presentations at conferences; webinars, and/or blog posts.

A. Program Description/Purpose

Background

According to section 4003 of the 21st Century Cures Act (Cures Act) enacted in 2016, the term 'interoperability,' with respect to health information technology, means such health information technology that— "(A) enables the secure exchange of electronic health information with, and use of electronic health information from, other health information technology without special effort on the part of the user; "(B) allows for complete access, exchange, and use of all electronically accessible health information for authorized use under applicable State or Federal law; and "(C) does not constitute information blocking as defined in section 3022(a).[1] ONC research shows that physicians' who have electronic health records (EHRs) that are interoperable are more likely to report that they have the information they need at the point of care.[2] In 2017, approximately 80 percent of office-based physicians possessed a certified EHR. However, only 1 in 10 reported that they were interoperable (i.e. able to electronically send, receive, find, and integrate data from outside sources).[3]

A number of federal health IT policies have sought to advance the use of health IT among health care providers over the last decade. In 2009, the Health Information Technology for Economic and Clinical Health (HITECH) Act incentivized the adoption and use of certified EHR technology and electronic exchange of health information.[4] The Cures Act expands interoperability by supporting patients' access and use of their electronic health information through standard-based application programming interfaces (APIs). In addition, the Cures Act addresses barriers to interoperability including information blocking.

Regulations implementing health IT provisions of the Cures Act are underway to advance interoperability and leverage health IT to address public health priorities. For example, as mandated under the Cures Act, ONC released the report, *Strategy on Reducing Regulatory and Administrative Burden Relating to the Use of Health IT and EHRs*, to identify recommendations to reduce EHR-related burdens that affect care delivery.[5] Additionally, the Coronavirus Disease 2019 (COVID-19) pandemic has brought to light the importance of telehealth technology in enabling access to patient care and the health IT infrastructure that supports public health efforts to respond to the pandemic. For example, rapid delivery of electronic laboratory test results is critical to contact tracing.

In light of the potential benefits of interoperability on patient care, ONC has supported national surveys of office-based physicians to monitor the use and impacts of health IT in office-based physician settings since 2009. Data from these surveys are made available to external researchers to facilitate the development of vital research on health IT policies. This data has also used by other stakeholders such as states and other federal agencies to inform their health IT activities. However, response rates for

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[1] https://www.govinfo.gov/content/pkg/PLAW-114publ255/pdf/PLAW-114publ255.pdf

[2] Patel V, Pylypchuk Y, Parasrampuria S & Kachay L. (May 2019) Interoperability among Office-Based Physicians in 2015 and 2017. ONC Data Brief, no.47. Office of the National Coordinator for Health Information Technology: Washington D.C https://www.healthit.gov/sites/default/files/page/2019-05/ONC-Data-Brief-47-Interoperability-among-Office-Based-Physicians-in-2015-and-2017.pdf

[3] ibid

[4] https://www.govinfo.gov/content/pkg/PLAW-111publ5/pdf/PLAW-111publ5.pdf

[5] Strategy on Reducing Regulatory and Administraive Burden Relating to the Use of Health IT and EHRs: Final Report As Required by the 21st Century Cures Act Public Law 114-255, Section 4001, The Office of the National Coordinator For Health Information Technology, February 2020 https://www.healthit.gov/sites/default/files/page/2020-02/BurdenReport_0.pdf

ONC's prior surveys of office-based physicians have been declining. A copy of the 2018 survey is included in appendix for reference.

Purpose

The purpose of this cooperative agreement is to measure the use and impacts of health IT, and level of interoperability among a nationally representative sample of U.S. office-based physicians. The cooperative agreement shall produce national-level data on interoperability and use of health IT by office-based physicians. These data shall provide national-level insights on the implementation and effects of federal health IT policies as well as identify disparities or unintended consequences resulting from their implementation. The cooperative agreement recipient is encouraged to make the key findings of the cooperative agreement publically available via their website; peer-reviewed publications in biomedical journals; presentations at conferences; webinars, and/or blog posts.

Structure and Approach

The recipient is encouraged to submit a plan to ONC that outlines the methodological approach it intends to take to meet the purpose of the cooperative agreement and collaborate with ONC when developing this plan.

The plan and methodological approach may include, but are not limited to, the following components:

- Sampling approach
- Content for measurement: Examples of topics for consideration include:
    - Use of certified health IT technology;
    - Health information exchange activity and interoperability of health IT systems (e.g., ability to in query (or find), send, receive, incorporate and use electronic health information from sources outside their healthcare organization as described in ONC publications);[6]
    - Barriers/benefits of interoperability;
    - Provider burden associated with EHR use;
    - Use of health IT functionalities for patient engagement;
    - Use of telemedicine tools; and
    - Health IT tools to prescribe and monitor the use of controlled substances (e.g., use of electronic prescription of controlled substances (EPCS) technology and prescription drug monitoring programs (PDMPs).
- Data collection methodology
- Data analysis and publication: The recipient is encouraged to coordinate and collaborate with ONC on data analysis, and produce data products and publications to highlight the recipient's key findings. Collaboration and at minimum coordination is encouraged to avoid duplicative efforts by the recipient and ONC. The recipient may collaborate with ONC on the release and publication of the analyses and findings of this cooperative agreement. The recipient could consider leveraging

[6] Patel V, Pylypchuk Y, Parasrampuria S & Kachay L. (May 2019) Interoperability among Office-Based Physicians in 2015 and 2017. ONC Data Brief, no.47. Office of the National Coordinator for Health Information Technology: Washington D.C https://www.healthit.gov/sites/default/files/page/2019-05/ONC-Data-Brief-47-Interoperability-among-Office-Based-Physicians-in-2015-and-2017.pdf

their analysis to support third party research that examines the use and impacts of health IT in office-based physician settings.
- Data quality and delivery

Roles and Responsibilities under a Cooperative Agreement

The funding instrument used for this program will be the cooperative agreement, an assistance mechanism, in which substantial ONC programmatic involvement is anticipated during the project period. Under the cooperative agreement, the ONC purpose is to support and stimulate the recipient's activities by involvement in, and otherwise working jointly with, each recipient in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this premise, the dominant role and prime responsibility resides with the recipient for the project as a whole. To facilitate appropriate involvement, during the period of this cooperative agreement, ONC and the recipient will be in contact monthly and more frequently when appropriate.

Specific tasks and activities may be shared between the recipient and ONC include, but not limited to the process of developing and fielding the survey, such as:

- Sampling approach
- Content for measurement: Examples of topics for consideration include:
- Data collection methodology
- Data analysis and publication
- Data quality and delivery
- Participate in the selection of key personnel, such as consultants
- Review and approval of substantive provisions of proposed sub awards or contracts
- Reviewing and approving deliverables
- Provide tactical guidance and feedback during project execution

Performance Goals

A performance goal is a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared. The performance goals of this cooperative agreement are as follows:

1. Develop key health IT measures related to interoperability and health IT use by U.S. office-based physicians.

2. Successfully obtain a nationally representative sample and respondents that reflect the U.S. office-based physician population that will support national level measurement.

3. Collect data from nationally representative sample U.S. office based physicians to produce national level estimates on key health IT measures (as noted in #1 above).

4. Collaborate and coordinate with ONC on the analysis and interpretation of results, and publication of written products, which relate to the purpose of this cooperative agreement (e.g., assess interoperability and health IT use by U.S. office-based physicians).

B. Funding Opportunity Award Information

Key Award Parameters

Funding Opportunity Title: *Tracking Use and Impacts of Health IT among U.S. Office-Based Physicians*

Federal Funding Agency**:** Department of Health and Human Services
Office of the National Coordinator for Health Information Technology

Announcement Type: *Cooperative Agreement.*

Application Type: *New*

Funding Opportunity Number: *NAP-AX-20-001*

Catalog of Federal Domestic Assistance (CFDA) Number*:* *93.851*

Eligible Applicants: Eligible applicants include domestic public or private, non-profit or for-profit entities.

Legislative Authority: *H.R. 1865 Further Consolidated Appropriations Act, 2020, Pub. L. 116-94, Division A-DEPARTMENTS OF LABOR, HEALTH AND HUMAN SERVICES, AND EDUCATION, AND RELATED AGENCIES APPROPRIATIONS ACT, 2020, Title II, Department of Health and Human Services, Office of the Secretary, Office of the National Coordinator for Health Information Technology.*

Anticipated Total Approximate Amount of Available Funding (inclusive of direct and indirect costs): $290,000

Anticipated Number of Awards: *1*

Anticipated Amount of Each Award: *$290,000*

Project Period: *September 30, 2020 to September 29, 2023*

Budget Period(s): *September 30, 2020 to September 29, 2021*

Funding of future continuation awards is conditioned on the availability of funds, satisfactory progress by the recipient, and an awarding office determination that continued funding of the award is in the best interests of the Government.

Cost Sharing/Match Requirements: Not required

Program Income:
There are four potential ways in which ONC may require that a recipient apply program income as specified in the NGA: 1) **deduct** it from total allowable program costs to determine the net allowable costs on which the Federal share of costs is based; 2) **add** it to funds otherwise available for the program, generally resulting in an increase to the total approved budget; 3) use it to meet a **matching or cost sharing** requirement; or 4) a **combination** of these alternatives.

Costs paid by program income generally are subject to the applicable cost principles and other Federal requirements and must be disbursed for program purposes **before** requesting additional payments of Federal funds. In the event program income remains at the end of the award, the additional income is considered part of the award funding and must be returned to ONC. **If program income is generated, the recipient must use the additive method.**

Intergovernmental Review : Applications for this Cooperative Agreement are not subject to review by states under Executive Order 12372, "Intergovernmental Review of Federal Programs" (45 CFR 100). Please check box "C" on item 19 of the SF 424 (Application for Federal Assistance) as Review by State Executive Order 12372, does not apply to this Cooperative Agreement.

Key Dates

Milestone	Date
NOFO Released	*08/12/2020*
Informational Session	*08/20/2020*
Notice of Intent Due	*08/24/2020*
Applications Due	*09/11/2020*
Anticipated Award Date	*09/30/2020*
Anticipated Project Start Date	*09/30/2020*

C. Eligibility Information

See Section B, Funding Opportunity Award Information, for eligibility, cost-sharing, and other key award information.

D. Application and Submission Information

Application Package

The following documents comprise, as applicable, the application package. Additional information regarding each of these documents is further provided.

- Project Abstract
- Project Narrative
- Form SF-424, Application for Federal Assistance
- Form SF-424A, Budget Information for Non-Construction Programs
- Form SF-424B, Assurances for Non-Construction Programs
- Form SF-LLL, Disclosure of Lobbying Activities
- Budget Narrative
- Letters of Commitment
- Proof of Non-Profit Status (if, applicable)
- Indirect Cost Agreement(s) – including recipient, sub-recipient, and contractors agreements (if applicable)

Appendix A, Tips for Writing a Strong Application, can be used as a resource.

The Project Narrative and Budget Narrative sections of the application must be double-spaced, on 8-1/2" X 11" plain white paper with 1" margins on all sides, and use either Cambria or Times New Roman font size of not less than 11 point. Smaller font sizes may be used to fill in the Standard Forms, exhibits, and figures, though all text in forms, exhibits, and figures must not be smaller than 8 point font.

Project Abstract

Applicants shall include a one-page abstract that is no more than 500 words. This abstract is often distributed to the public and Congress and represents a high-level summary of the project. As a result, applicant should prepare a clear, accurate, concise abstract that can be understood without reference to other parts of the application and that provides a description of the proposed project, including: the project's goal(s), objectives, overall approach, anticipated outcomes, products, and duration.

The applicant shall place the following information at the top of the Project Abstract (this information is not included in the 500 word maximum):

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

Project Narrative

The project narrative provides is the most substantive information regarding the proposed project in a clear and concise manner. To that end, the project narrative should address the elements articulated in the Program Description/Purpose and Structure and Approach sections of this NOFO. The project narrative should also align with the Performance Goals/Program Milestones and Merit Review Evaluation criteria presented in this NOFO (e.g. organizational experience, past performance etc.).

The Project Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point. The maximum length allowed for the Project Narrative is 20 pages. A Project Narrative that exceeds the 20 page limit will not be accepted. Resumes of Key Personnel, if requested, are not counted as part of the Project Narrative and are not included in the 20 page limit.

Your project narrative should include the following components. These components will be counted as part of the page limit. The suggested lengths of the sections, given below, are guidelines to help applicants create a balanced document, and not mandatory restrictions:

Discussion and Understanding of the Project (1-2 pages)

This section should describe the applicant's understanding of the project and the broader context related to the goals of the cooperative agreement. This would include a brief discussion about the current state of health IT in office-based care settings including describing the current health IT policy and regulatory landscape (e.g., 21st Century Cures Act, HITECH Act, the ONC Health IT Certification Program, etc.) related to the goals of the cooperative agreement.

Personnel Qualification, Past Performance, Management Plan, and Budget (2-5 pages)

This section should describe the applicant's personnel qualification and past performance demonstrating experience consistent with successfully meeting the goals of the cooperative agreement. This section should discuss the overall project management approach and the types and level of staffing, resources and infrastructure in place to support measurement. This would include identifying the roles of key staff, identifying the role of subcontractors and/or any other external consultants or subject matter experts, communication strategy with ONC to provide updates and progress reports. The applicant must provide the names of staff that will be overseeing the analysis of the data and preparation of the ongoing reports. This section should also include any quality assurance or quality control processes your organization plans to conduct throughout the project. This section should also include the proposed budget.

Technical approach (5-10 pages)

This section should describe the applicant's methodological approach to meet the goals of the cooperative agreement. The following aspects should be addressed in this section:

> Content for Measurement
> This section should describe how your organization plans to finalize the measures to be included in the data collection to meet the goals of the cooperative agreement. The applicant should list the prioritized set of topics and measures. The applicant should describe how they plan to ensure the selected measures will be well understood and valid.

Sampling Strategy and Targeting Respondents
This section should describe the applicant's methodological approach to obtain data from a nationally representative sample of U.S. office based physicians. This section should include discussion on how the applicant shall collect data from U.S. office-based physicians that represent diverse range of practice settings (e.g. rural vs. urban, specialty type, practice group size, etc). The proposal shall also include the applicant's approach for identifying and targeting office-based physicians in non-federal settings who provide direct patient care, as opposed to front desk or office staff. This discussion should include any anticipated challenges in reaching U.S. office-based physicians, and strategies that may be used to address these challenges. A description of your organization's outreach efforts should be included.

Data Collection Methodology
This section should describe your organization's approach for data collection. This discussion should include a description of the method (qualitative, quantitative survey) and modality (e.g. telephone, mail, or online) and its strengths and limitations. This section should also describe your organization's strategy for achieving a high response rate with U.S. office-based physicians, such as your approach for following-up with non-respondents to the data collection approach.

Data Analysis, and Publication
This section should describe the applicant's approach for analyzing the data and disseminating the results. This section should also include a description of the data analysis plan and strategy for disseminating data findings.

Data Quality and Delivery
This section should describe how the applicant shall provide the final data set and related documentation, including formats and level of information. This section should include a description of the processes for properly coding and cleaning the final dataset and processes in place to assuring the quality and completeness of the data, including the types of quality checks performed.

Form SF-424, Application for Federal Assistance

Appendix B provides line-by-line instructions to complete the form. Please note that the SF-424 is used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. Accordingly, when completing the form, please use the instructions in Appendix B in lieu of the standard instructions attached to SF-424.

Form SF-424A, Budget Information for Non-Construction Programs

Appendix C provides line-by-line instructions to complete the form. Please note that the SF-424A is used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. Accordingly, when completing the form, please use the instructions in Appendix C in lieu of the standard instructions attached to SF-424A. All direct and indirect costs must be allowable, allocable, reasonable and necessary.

Form SF-424B, Assurances for Non-Construction Programs

This form contains laws and other assurances applicants must comply with under the discretionary funds programs administered by the Office of the National Coordinator for Health Information Technology.

Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

Form SF-LLL, Disclosure of Lobbying Activities

This form contains the name and address of lobbying registrants. Please note that a duly authorized representative of the applicant organization must sign the disclosure form. Failure to complete and sign the form may result in civil penalties ranging from $10,000 to $100,000.

Budget Narrative

The budget narrative describes how the proposed budget, as articulated in the SF-424A, aligns with the applicant's project narrative. That is to ensure that costs are realistic (not artificially too low) and reasonable (not inflated) in view of programmatic requirements. Appendix D provides a template to complete the budget narrative populated with *sample* information.

When more than 33% of a project's total budget falls under a contractual expense, a detailed budget narrative/justification must be provided for each sub-contractor or sub-recipient. Applicants requesting funding for multi-year grant programs are required to provide a combined multi-year budget narrative/justification, as well as a detailed budget narrative/justification for each year of potential grant funding. A separate budget narrative/justification is also required for each potential year of grant funding requested.

The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms. The Budget Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point.

Letters of Commitment

Include letters of commitment confirming the support to the project (should it be funded) made by key collaborating organizations and agencies. Any organization that is specifically named to have a significant coordination role in carrying out the project should be considered an essential collaborator such as interstate, intrastate, and regional partners. At a minimum, the letter must explain the demonstrated commitment to the project and how they will advance coordination and collaboration among critical stakeholders. See Appendix E for an example letter of commitment.

These letters should not be considered as part of the page limit. Signed letters of commitment should be scanned and included as attachments.

Proof of Non-Profit Status

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- 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 a 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.

Indirect Cost Agreement(s)

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. This is optional for applicants that have not included indirect costs in their budgets. Further, if any sub-contractors or sub-recipients are requesting indirect costs, copies of their indirect cost agreements must also be included with the application. Cost allocation plans are not accepted.

Application Submission Instructions

1) You must access the electronic application for this program via http://www.grants.gov. You can search the downloadable application page by the Notice of Funding Opportunity Number *NAP-AX-20-001* or CFDA number *93.851*.

2) Applicants will be able to download a copy of the application packet and complete it off-line. In order to complete the application, an organization must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. A DUNS number can be obtained via http://fedgov.dnb.com/webform and typically takes 1 to 2 business days. Please plan accordingly.

3) Completed applications are uploaded into Grants.gov. APPLICATIONS WILL NOT BE ACCEPTED THROUGH ANY OTHER WEBSITE, AND WILL NOT BE ACCEPTED THROUGH PAPER MAIL, COURIER, OR DELIVERY SERVICE.

In order to upload applications into Grants.gov:

a) An applicant must be registered in the System for Award Management (SAM), at sam.gov, which requires having a DUNS number. The SAM registration process takes 7 to 10 business days so please plan accordingly. If you have already registered with SAM, but have not renewed your registration in the last 12 months, you will need to renew your registration.
b) Please note that entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. This will not impact the registration approval process, but is required as part of your registration. For additional information, read SAM's updated FAQs to learn more about changes to the notarized letter review process and other system improvements.

The following website depicts the SAM registration process:
http://www.grants.gov/web/grants/applicants/organization-registration.html

c) An applicant must be registered in Grants.gov which can take several days. To that end, applicants are strongly encouraged to register and test Grants.gov logins and passwords well in advance of the application deadline date. For assistance with www.grants.gov, please contact them at support@Grants.gov or 1-800-518-4726. Resources are available 24 hours a day/7 days a week.

A depiction of the Grants.gov application process can be found at
http://www.grants.gov/web/grants/applicants/apply-for-grants.html

4) After electronically submitting your application, Grants.gov will generate an email a tracking number and date of receipt verification confirming that the application was received, the date and time the application was received, and a tracking number. This notification does not ensure that your application could be opened and read -- only that the application was received.

The deadline for the submission of applications under this Funding Opportunity is 12:00 NOON Eastern Standard Time on 09/11/2020. Applications that fail to meet the application deadline will not be reviewed and will receive no further consideration.

Restrictions on Oral Conversations

This funding announcement is subject to restrictions on oral conversations during the period of time commencing with the submission of a formal application by an individual or entity and ending with the award of the competitive funds. Federal officials may not participate in oral communications initiated by any person or entity concerning a pending application for a competitive grant or other competitive form of federal financial assistance, whether or not the initiating party is a federally registered lobbyist.

This restriction applies unless:

- The communication is purely logistical
- The communication is made at a widely attended gathering
- The communication is to or from a federal agency official and another federal Government employee
- The communication is to or from a federal agency official and an elected chief executive of a state, local, or tribal government, or to or from a federal agency official and the Presiding Officer or Majority Leader in each chamber of a state legislature
- The communication is initiated by the federal agency official

E. Application Review Information

Screening Review

Applicants that do not meet the following screening criteria will be eliminated and will not be sent forward for merit review:

- The applicant meets the eligibility criteria
- The application is received by the required deadline through http://www.grants.gov
- The application contains all required components (e.g. Project Abstract, Project Narrative, SF-424 etc.)
- The application meets the formatting and length requirements. The Project Narrative must not exceed 20 pages. The Project Abstract and resumes do not count as part of the Project Narrative length limitation.
- Appendices and attachments are not used as a mechanism to exceed page limits of the Project Narrative

Merit Review

An independent review panel, of at least three individuals, will evaluate applications that meet the screening criteria identified above. These reviewers will be experts in their field from academic institutions, non-profit organizations, and local and Federal government agencies. Reviewers will review, evaluate, and score applications, in accordance with the criteria identified below:

1. Discussion and Understanding of the Project – 10 points maximum

The applicant demonstrates knowledge and understanding of the adoption of EHRs and survey methodology.

2. Technical Approach – 25 points maximum

The applicant's approach is succinct and logical in format and demonstrates methods consistent with the goals to be accomplished. The applicant proposes a clear and detailed approach for collecting and analyzing the survey data. The applicant must clearly identify an approach for verifying the accuracy of the data through audit or other approved means.

3. Personnel Qualification and Past Performance – 40 points maximum

The applicant must demonstrate and provide evidence of experience for the items listed below. All evidence must be provided in the specific format outlined below and be submitted as an appendix to the applicant's proposal.

- 3.1: An existing data collection effort on health IT/digital health at the national level among U.S. office-based physicians and quality of that data collection effort.
- 3.2: Evidence of past work producing reports and publications from these past data collection efforts on health IT/digital health.
- 3.3 Existing infrastructure and resources to measure interoperability and use of health IT at the national level among a nationally representative sample of U.S. office-based physicians.

- 3.4 Existing physicians on staff with subject matter expertise in health IT and interoperability that can support measurement development needed for this cooperative agreement.

4. Management Plan – 10 points maximum

The applicant must provide the names of staff that will be involved in the management and technical approach of this project, including the sampling approach, developing the content of the survey, overseeing the analysis of the data and preparation of the ongoing reports.

5. Budget—15 points maximum

The applicant must detail their budget and align it with the proposed level of funding for the project.

MAXIMUM TECHNICAL SCORE = 100 POINTS

Pre-Award Risk Assessment

ONC is required to conduct a risk assessment to assess the risk posed by a potential recipient, prior to issuing an award. In doing so, ONC will take into account the applicant's financial stability, quality of management systems, history of performance, reports and findings from audits, and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. To facilitate this assessment, ONC may review information available in systems, such as the Excluded Parties List System, review documentation, such as previous audits, and/or desk reviews or site visits conducted from previous awards. ONC may elect not to fund applicants with management or financial instability that directly relates to the organization's ability to implement statutory, regulatory or other requirement s (45 CFR Part 75.205.)

F. Federal Award Administration Information

Award Decisions

The final award decision will be made by the National Coordinator for Health Information Technology taking into consideration several factors such as the results of the merit review process, results of the pre-award risk assessment, compliance with programmatic and grants management requirements; the reasonableness of the estimated costs, available funding, geographical dispersion, program priorities; and the likelihood that the proposed project will result in the benefits expected. All applicants will receive a summary of the objective review panel's assessment of the application's strengths, weaknesses, and score.

Notice of Award

Successful applicants will receive a letter of notification acknowledging that an award was funded, but does not provide authorization for the applicant to begin performance and expend funds associated with the award.

Following this notice, successful applicants will receive a Notice of Award (NOA). The NOA will include, at a minimum, the following:

- Legal name and address of the organization or institutions to whom ONC has issued an award
- Award number assigned by ONC
- Project period, specifying the amount of time ONC intends to support the project without requiring re-competition for funds
- Total amount of financial assistance approved by ONC during the project period
- Budget period, specifying the increments in which the project will be funded, subject to the availability of funds
- Applicable award terms and conditions
- Performance goals, indicators, milestones, or expected outcomes (such as outputs, or services performed or public impacts of any of these) with an expected timeline for accomplishment

The successful applicants' Authorized Representatives will receive the NOA electronically from ONC. The Recipient accepts the award by drawing down funds. By accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are to be incorporated into the award by reference. Failure to comply with these requirements may result in suspension or termination of the awards and/or ONC's recovery of award funds.

Terms and Conditions

Incorporated by Reference

The NOA is subject to, by reference, the terms and conditions incorporated in the following documents:

- 45 CFR, Part 75—Uniform Administrative Requirements, Cost Principles, and Audit Requirements For HHS Awards
  http://www.ecfr.gov/cgi-bin/text-idx?SID=06a0b0411d1520fae5e2799030e64ebf&node=pt45.1.75&rgn=div5

- HHS Grants Policy Statement
  https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Specific terms and conditions, incorporated by reference above, are further delineated below due to their importance in terms of integrity, achieving programmatic objectives, and/or sound financial stewardship of federal funds.

Performance Reporting

ONC Program Progress Reports (PPR) are due semi-annually. The PPR will address, to the extent applicable:

- degree to which performance goals were attained (actual performance versus targeted performance)
- data source and validation method for performance measures
- opportunities to address performance deficiencies
- accomplishments
- next steps
- challenges
- barriers
- recommendations to address challenges and barriers

ONC will provide specific guidance regarding the content and format of the PPR before the reports are due.

Financial Reporting

Expenditures must be reported, on a semi-annual basis, using the SF-425, Federal Financial Report (FFR). Reports are due to HHS no later than April 30 of each year the award is active for funds expended between October and March, and no later than October 31 for funds expended between April and September. The semi-annual FFR will be submitted using the Payment Management System. ONC will not accept reports sent directly to the ONC Grants mailbox.

The FFR Cash Transaction Report, a subset of the SF-425, Federal Financial Report, is submitted via the Payment Management System (PMS) every calendar quarter for the life of the award. The report must be submitted within 30 days after the end of the quarter (January 31, April 30, July 31, and October 31).

Federal Funding and Accountability and Transparency Act of 2006

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), includes a requirement for recipients of Federal grants to report information about first-tier sub-awards and executive compensation under Federal assistance awards issued in FY2011 or later. All recipients of ONC grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at www.fsrs.gov on all sub-awards over $25,000.

Federal Recipient Performance and Integrity Information System (FAPIIS)

As of January 1, 2016, recipients of Federal grants and cooperative agreements are subject to new mandatory disclosure requirements. Recipients that have Federal contracts, grants, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose in FAPIIS, semiannually, any information about criminal, civil, and administrative proceedings for the most recent five-year period in connection with the award or performance of a grant, cooperative, agreement, or procurement contract from the Federal Government. All information posted in FAPIIS on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

Funding Restrictions

Funds cannot be used for the following purposes:

- To supplant or replace current public or private funding
- To supplant ongoing or usual activities of any organization involved in the project
- To purchase or improve land, or to purchase, construct, or make permanent improvements to any building
- To reimburse pre-award costs

Conflict of Interest

The term “organizational conflict of interest” means that the applicant, including its chief executives, directors, consultants, sub recipients, or any other personnel that are substantially involved in the performance of this assistance agreement, has interests which:

- May diminish its capacity to give impartial, technically sound, objective assistance and advise in performing this tasks;
- May otherwise result in a biased work product under this assistance agreement; or,
- May result in an unfair competitive advantage to itself or others.

In accordance with Section 75.112 of Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHSAwards, all applicants and non-federal entities must disclose, in writing, any potential conflict of interest (COI) that they have with the awarding agency and/or any other pass-through entities. The applicant shall notify the ONC grants management officer (GMO) when they believe an actual or potential COI may exist.

If, after award, recipient discovers a COI, with respect to the assistance agreement, it shall make an immediate and full disclosure in writing to the ONC GMO. The disclosure shall include identification of the actual or potential conflict, the manner in which it arose, and a description of the action the recipient has taken, or proposed to take, to avoid, eliminate, or neutralize the conflict.

In the event the recipient was aware of an organizational COI, prior to award of the assistance agreement, and did not disclose the conflict to the GMO, or becomes aware of an organizational COI after award of this assistance agreement and does not disclose the COI within ten (10) days of becoming aware of such conflict, the Government may terminate the assistance agreement and the recipient shall not be entitled to reimbursement of any costs incurred in performing the assistance agreement.

The rights and remedies of the Government, under this term and condition, shall not be exclusive and are in addition to any other rights and remedies provided to the Government under law, regulation, or any other available enforcement mechanism.

Non-Disclosure Requirements

The federal award may require the recipient to have access to information relating to any and all aspects of grants management operations that may be of a technical, legal, sensitive and/or confidential nature and which may be the sole property of the U.S. Government. To mitigate risks associated with such access, the recipient shall ensure that all its personnel, including chief executives, directors, consultants, sub recipients, or any other personnel substantially involved in the performance of this award sign a non-disclosure agreement prior to the commencement of any work on the award.

In addition, recipients shall put in place appropriate procedures for the protection of such information and shall be liable to the Government for any misuse or unauthorized disclosure of such information by its personnel.

The rights and remedies of the Government, under this term and condition, shall not be exclusive and are in addition to any other rights and remedies provided to the Government under law, regulation, or any other available enforcement mechanism.

Mandatory Disclosures

In accordance with Section 75.113, Mandatory Disclosures, of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in Section 75.371 of the Uniform Requirements including suspension or debarment.

Intangible Property and Copyrights

Intangible property, as defined in OMB’s, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards means property having no physical existence, such as trademarks, copyrights, patents and patent applications and property, such as loans, notes and other debt instruments, lease agreements, stock, and other instruments of property, ownership (whether the property is tangible or intangible).

(a) Title to intangible property (see §75.2 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the HHS awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in §75.320(e).

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. **The HHS awarding agency reserves a**

royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so. (Please note, for the purpose of this funding opportunity "work" can be considered as: writings, films, sound recordings, pictorial reproductions, drawings, designs, or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other technical research data.)

(c) The non-Federal entity is subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR part 401.

(d) The Federal Government has the right to:

(1) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes

(e) Freedom of Information Act (FOIA). (1) In response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under a Federal award that were used by the Federal Government in developing an agency action that has the force and effect of law, the HHS awarding agency must request, and the non-Federal entity must provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the HHS awarding agency obtains the research data solely in response to a FOIA request, the HHS awarding agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the Federal agency and the non-Federal entity. This fee is in addition to any fees the HHS awarding agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

(2) Published research findings means when:

(i) Research findings are published in a peer-reviewed scientific or technical journal; or

(ii) A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law. "Used by the Federal Government in developing an agency action that has the force and effect of law" is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

(3) Research data means the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: Preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g., laboratory samples). Research data also do not include:

(i) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(ii) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

(f) The requirements set forth in paragraph (e)(1) of this section do not apply to commercial organizations

For any work owned by a third party that was licensed by the recipient under this award, recipient will assure that said license also reserves for the Government a royalty free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes and to authorize others to do so.

Records Retention

Recipients generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of an award, or may reasonably be considered pertinent to a grant/cooperative agreement, for a period of three years from the date the final FFR is submitted. For awards where the FFR is submitted at the end of the competitive segment, the three-year retention period will be calculated from the date the final FFR, for the entire competitive segment, is submitted.

45 CFR Part 75.361 provides exceptions and qualifications to the three-year retention requirement. For example, if any litigation, claim, financial management review, or audit is started before the expiration of the three-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken. This section also specifies the retention period for other types of grant-related records, including indirect cost proposals and property records. See 45 CFR 75.335for record retention and access requirements for contracts under grants/cooperative agreements.

Modifications

Modifications and/or amendments to the cooperative agreement must be effective upon the mutual agreement of both parties, except where ONC is authorized under the Terms and Conditions of award, 45 CFR Part 75, or other applicable regulation or statute to make unilateral amendments.

Audit Requirements

OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements, Subpart F, Audit Requirements sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards. In general, a non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit. Subpart F provides further guidance including the manner in which expenditures are determined, the distinction between a single audit and a program-specific audit, frequency of audits, and roles and responsibilities in the conduct of audits.

Enforcement Actions/Termination

Per 45 CFR 75.371, ONC will generally allow the recipient an opportunity to take appropriate corrective action before terminating a program. ONC may terminate the Cooperative Agreement if the recipient does not take appropriate corrective action. ONC may also terminate the award, without the option for corrective action, if the deficiency is so serious as to warrant immediate termination or if public health or welfare concerns require immediate action.

ONC or the recipient may mutually terminate a Cooperative Agreement, partially or totally, if the two parties agree upon the termination conditions, including the effective date and the portion to be terminated. If the recipient decides to terminate a portion of a Cooperative Agreement, ONC may determine that the remaining portion of the Cooperative Agreement will not accomplish the purposes for which the Cooperative Agreement was originally awarded. The recipient must contact the ONC representative should it decide to terminate all or part of its Cooperative Agreement as outlined in 45 CFR 75.372.

When an award is terminated or partially terminated, the recipient is still responsible for closing out the award per 45 CFR 75.381. The recipient is required to contact their assigned Grants Management Specialist to obtain closeout instructions. In the event of termination, the recipient will be required to continue supporting functions of the Cooperative Agreement throughout a 90 day closeout period. This support includes the transfer of all Work Products created under the Cooperative Agreement to ONC immediately upon completion/termination of award.

For the purpose of this program, if the recipient is terminated, the recipient agrees to the transfer of and future use by ONC and any successor recipient of any Work Products developed under this Cooperative Agreement.

Steven's Amendment

Statutory Requirement: Division H, Title V, Section 505 of Public Law 114-113, of the Consolidated Appropriations Act of 2016

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state—

(1) the percentage of the total costs of the program or project which will be financed with Federal money;
(2) the dollar amount of Federal funds for the project or program; and
(3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Recipients are required to use the following acknowledgement and disclaimer on all products produced by ONC grant funds:
"This project is/was supported by the Office of the National Coordinator for Health Information Technology (ONC) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by ONC, HHS or the U.S. Government."

Recipients are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other ONC supported publications and forums describing projects or programs funded in whole or in part with ONC funding. Examples of ONC supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies, and issues briefs.

508 Compliance

ONC requires its recipients to ensure that any material meant for public release developed by way of ONC funding is in compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d) accessible to people with disabilities.

G. Points of Contact

ONC Grants Management Officer
Carmel Halloun
330 C Street, SW
Washington, D.C. 20201
oncgrants@hhs.gov

ONC Grants Management Specialist
Tevon Taylor
*330 C Street, S.W.; *
Washington, D.C. 20201
oncgrants@hhs.gov

ONC Project Officer
Christian Johnson

ONC E-Mail Address
In addition, a separate ONC e-mail address has been established for this cooperative agreement to which all comments and inquiries can be directed. The e-mail address is *christian.johnson@hhs.gov.*

DUN and Bradstreet (DUNS number must be active in SAM.gov)
http://www.dnb.com/
800.234.3867

System for Award Management (SAM) Customer Support
https://www.sam.gov
Federal Service Desk -- www.fsd.gov
866-606-8220

Grants.Gov Customer Support
Questions regarding Grants.gov registration and submission, downloading or navigating forms
Contact Center Phone: 800-518-4726
Email: support@grants.gov

HHS Office of the Inspector General
The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS or 1-800-447-8477) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201. Such information is treated as sensitive and complainants may decline to give their names if they choose to remain anonymous.

Appendix A

Tips for Writing a Strong Application

Include DUNS Number. You must include a DUNS Number to have your application reviewed. To obtain a DUNS number, access http://www.dunandbradstreet.com or call 1-866-705-5711. Please include the DUNS number in item 8c on the application face page.

Keep your audience in mind. Reviewers will use only the information contained in the application to assess the application. Be sure the application and responses to the program requirements and expectations are complete and clearly written. Do not assume that reviewers are familiar with the lead recipient organization. Keep the review criteria in mind when writing the application.

Prepare early. Start preparing the application early. Allow plenty of time to gather required information from various sources.

Follow the instructions in this guidance carefully. Place all information in the order requested in the guidance. If the information is not placed in the requested order, you may receive a lower score.

Be brief, concise, and clear. Make your points understandable. Provide accurate and honest information, including candid accounts of problems and realistic plans to address them. If any required information or data is omitted, explain why. Make sure the information provided in each table, chart, attachment, etc., is consistent with the proposal narrative and information in other tables.

Be organized and logical. Many applications fail to receive a high score because the reviewers cannot follow the thought process of the lead recipient or because parts of the application do not fit together.

Be careful in the use of attachments. Do not use the attachments for information that is required in the body of the application. Be sure to cross-reference all tables and attachments to the appropriate text in the application.

Carefully proofread the application. Misspellings and grammatical errors will impede reviewers in understanding the application. Be sure that page limits are followed. Limit the use of abbreviations and acronyms, and define each one at its first use and periodically throughout application. Make sure you submit your application in final form, without markups.

Print out and carefully review an electronic application to ensure accuracy and completion. When submitting electronically, print out the application before submitting it to ensure appropriate formatting and adherence to page limit requirements. Check to ensure that all attachments are included before sending the application forward.

Ensure that all information is submitted at the same time. We will not consider additional information and/or materials submitted after your initial submission, nor will we accept e-mailed applications or supplemental materials once your application has been received.

Appendix B

Instructions - SF-424, Application for Federal Assistance

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below.

Item	Field Name	Information
1.	Type of Submission:	(Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application - Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.
2.	Type of Application:	(Required) Select one type of application in accordance with agency instructions. • New - An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	Date Received:	Leave this field blank. This date will be assigned by the Federal agency.
4.	Applicant Identifier:	Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.
5a.	Federal Entity Identifier:	Enter the number assigned to your organization by the federal agency, if any.
5b.	Federal Award Identifier:	For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.

Item	Field Name	Information
6.	Date Received by State:	Leave this field blank. This date will be assigned by the state, if applicable.
7.	State Application Identifier:	Leave this field blank. This identifier will be assigned by the state, if applicable.
8.	Applicant Information:	Enter the following in accordance with agency instructions:
	a. Legal Name:	(Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.
	b. Employer/Taxpayer Number (EIN/TIN):	(Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS:	(Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.
	d. Address:	Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).
	e. Organizational Unit:	Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
	f. Name and contact information of person to be contacted on matters involving this application:	Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs)

Item	Field Name	Information
		T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)
10.	Name Of Federal Agency:	(Required) Enter the name of the federal agency from which assistance is being requested with this application.
11.	Catalog Of Federal Domestic Assistance Number/Title:	Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	Funding Opportunity Number/Title:	(Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	Competition Identification Number/Title:	Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
14.	Areas Affected By Project:	This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
15.	Descriptive Title of Applicant's Project:	(Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16.	Congressional Districts Of:	15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation - 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
17.	Proposed Project Start and End Dates:	(Required) Enter the proposed start date and end date of the project.
18.	Estimated Funding:	
(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.		

<table>
<tr><th>Item</th><th>Field Name</th><th>Information</th></tr>
<tr><td colspan="3">Applicants should review matching principles contained in 2 CFR 200.306 before completing Item 18. All budget information entered under item 18 should cover the upcoming budget period. For sub-item 18a, enter the federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least [cite percentage or fraction] of the amount of federal funds being requested (the amount in 18a). For sub-item 18f, enter only the amount, if any, which is will be used as part of the required match.

There are two types of match: 1) non-federal cash and 2) non-federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-recipients, contractors and consultants, are considered matching funds. Generally, most contributions from sub-contractors or sub-recipients (third parties) will be non-federal in-kind matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations. Examples of non-federal cash match include budgetary funds provided from the applicant agency’s budget for costs associated with the project.

ONC’s Match Requirement – (Sample Language)
Under this program, the applicant’s match requirement is $1 for every $3 Federal dollars In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project’s total cost. This “three-to-one” ratio is reflected in the following formula which you can use to calculate your minimum required match:

Federal Funds Request/3 = Minimum Match Requirement

For example, if you request $100,000 in Federal funds, then your minimum match requirement is $100,000/3 or $33,333. In this example the project’s total cost would be $133,333.
If the required non-Federal share is not met by a funded project, ONC will disallow any unmatched Federal dollars.

Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-recipients are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.</td></tr>
<tr><td>19.</td><td>Is Application Subject to Review by State Under Executive Order 12372 Process?</td><td>(Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</td></tr>
<tr><td>20.</td><td>Is the Applicant Delinquent on any Federal Debt?</td><td>(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.</td></tr>
</table>

Item	Field Name	Information
21.	Authorized Representative:	To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

Appendix C

Instructions - SF-424A, Budget Information for Non-Construction Programs

Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a two year budget.

Section A Budget Summary
Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total nonfederal costs (including third party in-kind contributions and any program income to be used as part of the recipient match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B Budget Categories
Column 3: Enter the breakdown of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 3 and 4) by object class category.

Separate Budget Narrative/Justification Requirement

You must submit a separate Budget Narrative/Justification as part of your application. When more than 33% of a project's total budget falls under a contractual expense, a detailed budget narrative/justification must be provided for each sub-contractor or sub-recipient. Applicants requesting funding for multi-year grant programs are required to provide a combined multi-year budget narrative/justification, as well as a detailed budget narrative/justification for each year of potential grant funding. A separate budget narrative/justification is also required for each potential year of grant funding requested.

In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or more. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as, sub-contractor or sub-recipient (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms. This should include a budget narrative for the entire period of performance.

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/recipient staff. Do not include the cost of consultants. Consultant costs should be included under 6h, Other. In the Budget Narrative/Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the Budget Narrative/Justification.

Some Points to Consider:

- ♦ Is the basis for determining each employee's compensation described (annual salary and % time devoted)?
- ♦ Is each position identified by title/responsibility?
- ♦ Are time commitments and the amount of compensation stated and reasonable?
- ♦ Are salary increases anticipated during the grant period and are they justified (COLA, etc.)?
- ♦ Are any personnel costs unallowable?
    - o Dual Compensation
    - o Federal Employee

Line 6b: Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Some Points to Consider:

- ♦ Is the amount specified as a separate line item?
- ♦ Is each type of benefit indicated separately or does the organization have an approved fringe benefit rate?
- ♦ Are fringe increases contemplated during the grant period?
- ♦ Are any fringe costs unallowable?

Line 6c: Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, and length of stay, subsistence allowances and transportation costs (including mileage rates).

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all recipients, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub recipients. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Some Points to Consider:

- ♦ Are equipment items specified by unit and cost?
- ♦ Is the request reasonable and allowable under the project?
- ♦ Does the organization have a procurement policy in place?
- ♦ Is a lease vs. purchase study necessary (vehicles, large items of equipment)?
- ♦ Are purchases distinguishable from rentals?

Line 6e: Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. In the Justification: Provide general description of types of items included.

Some Points to Consider**:**

- ♦ Are supplies listed separately?
  - o Office
  - o Training
  - o Research
  - o Other types of supplies
- ♦ How was cost determined?
- ♦ Is the basis for the cost reasonable? Monthly estimates are sufficient
- ♦ Are costs consistently treated?

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those, which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals or consultants on this line. In the Budget Narrative/Justification attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. Whenever the applicant/recipient intends to delegate more than 33% of a project's total budget to the contractual line item, the applicant/recipient must provide a completed copy of Section B of the SF 424A Budget Categories for each sub-contractor or sub-recipient, and separate Budget Narrative/Justification for each sub-contractor or sub-recipient for each year of potential grant funding.

Some Points to Consider:

- ♦ Is the type of each service to be rendered described?
- ♦ For Consultants/Individuals
  - o Is an hourly, daily or weekly base rate given?
  - o Are rates allowable, justified, reasonable and comparable to market?
- ♦ Is the total amount for any contract in excess of $150,000?
  - o Is procurement method described?
  - o If the contract is not competitively bid, has a sole source justification been provided?

Note: The competitive process must be used if goods and services will be provided through a contract (e.g., vendor or consultant). All costs associated with contracts should be included in this category. Sub awards are made to entities carrying out part of the program effort, goals and objectives. Sub awards are to be listed individually in the "Other" cost category.

Line 6g: Construction: Leave blank since construction is not an allowable cost under this program.

Line 6h: Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. In the Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the project. Describe the types of activities for staff development costs.

Some Points to Consider:

- ♦ Are items listed by major type (space rental, printing, phone, maintenance, etc.)?
- ♦ Are all costs justified, reasonable and allowable?
- ♦ Is there a reasonable basis for costs?
- ♦ List each sub award and amount of award
- ♦ Provide description of activities to be performed
- ♦ Describe method used to select the sub award and type of agreement to be awarded
- ♦ Provide a separate budget and budget narrative for each sub award

Note: Costs for contractual arrangements (vendors, consultants) should be budgeted in the "Contractual" cost category.

<u>Line 6i: Total Direct Charges:</u> Show the totals of Lines 6a through 6h.

<u>Line 6j: Indirect Charges:</u> Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency.

Budget Narrative/Justification: State governments should enter the amount of indirect costs determined in accordance with HHS requirements. An applicant that will charge indirect costs to the grant must enclose a copy of the current indirect cost rate agreement. If any sub-contractors or sub-recipients are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in 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. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which 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.

<u>Line 6k: Total:</u> Enter the total amounts of Lines 6i and 6j.

<u>Line 7: Program Income:</u> As appropriate, include the estimated amount of income, if any, you expect to be generated from this project. Program income must be used as additional program costs and cannot be used as match (non-federal resource).

Section C Non-Federal Resources - Not applicable

Section D Forecasted Cash Needs - Not applicable.

Section E Budget Estimate of Federal Funds Needed for Balance of the Project

Line 20: Section E is relevant for multi-year grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F Other Budget Information

Line 22: Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. Include a copy of your current Indirect Cost Rate Agreement.

Line 23: Remarks: Provide any other comments deemed necessary.

SAMPLE BUDGET AND NARRATIVE JUSTIFICATION
FOR COMPLETING SF 424A:

A. Personnel:
An employee of the applying agency whose work is tied to the application

TABLE 1: FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Program Director	John Doe	$164,890	10%	$6,489
Project Coordinator	To be selected	$46,276	100%	$46,276
			TOTAL	$52,765

NARRATIVE JUSTIFICATION: Enter a description of the Personnel funds requested and how their use will support the purpose and goals of this proposal. Be sure to describe the role, responsibilities and unique qualifications of each position.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A): **$52,765**

B. Fringe Benefits:
Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

List all components of fringe benefits rate

TABLE 2: FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	$52,765	$4,037
Workers Compensation	2.5%	$52,765	$1,319
Insurance	10.5%	$52,765	$5,540
		TOTAL	$10,896

NARRATIVE JUSTIFICATION: Enter a description of the Fringe funds requested, how the rate was determined, and how their use will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A)**: $10,896**

C. Travel:

Explain need for all travel other than that required by this application. The lowest available commercial fares for coach or equivalent accommodations must be used. Local travel policies prevail.

TABLE 3: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
State HIE Leadership Training	Washington, DC	Airfare	$200/flight x 2 persons	$400
		Hotel	$200/night x 2 persons x 3 nights	$1200
		Per Diem (meals)	$64/day x 2 persons x 3 days	$384

Purpose of Travel	Location	Item	Rate	Cost
State HIE Forum	Chicago, IL	Airfare	$200/flight x 2 persons	$400
		Hotel	$140/night x 2 persons x 3 nights	$840
		Per Diem (meals)	$49/day x 2 persons x 4 days	$392
Sate Travel		Airfare	$200/flight x 2 persons	$400
		Hotel	$200/night x 2 persons x 2 nights	$800
		Per Diem (meals)	$64/day x 2 persons x 3 days	$384
Local Travel		Mileage	3,000 miles@.38/mile	$1,140
			TOTAL	$6,340

NARRATIVE JUSTIFICATION: Describe the purpose of travel and how costs were determined.

The grant requires travel of two members to attend the two-day State HIE Leadership Training in Washington, DC. also required to send two members to Chicago, IL for a two-day State HIE Forum. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate is based on agency's personally owned vehicle (POV) reimbursement rate at 50 cent a mile.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A): **$6,340**

D. Equipment:
Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more.

If applicant agency defines "equipment" at lower rate then follow the applying agency's policy.

TABLE 4: FEDERAL REQUEST

Item(s)	Rate	Cost
None		0
	TOTAL	

NARRATIVE JUSTIFICATION: Enter a description of the Equipment and how its purchase will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF424A): **$ 0**

E. Supplies: Materials costing less that $5,000 per unit and often having one-time use

TABLE 5: FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	$50/mo. x 12 mo.	$600
Postage	$37/mo. x 8 mo.	$296
Laptop Computer	$900	$900
Printer	$300	$300
Projector	$900	$900
Copies	8000 copies x .10/copy	$800
Computer update (if needed)		$250

Item(s)	Rate	Cost
	TOTAL	$4,046

NARRATIVE JUSTIFICATION: Enter a description of the Supplies requested and how their purchase will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF424A): **$4,046**

F. Contract:
The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the budget. If there is more than one contractor, each must be budgeted separately and must have an attached itemization.

A contract is generally the amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

TABLE 6: FEDERAL REQUEST

Name		Cost
1. To be selected	Environmental Strategy Consultation Rate is $150/day for 35 days = $5,250 Travel 500 miles @ .38/mile = $190	$5,440
2. To be selected	Media 1.5 minute Public Service Announcement (PSA)	$3,000
3. To be selected	Evaluation Report	$4,500
4. To be selected	Training for Staff members Trainers: rate is $300/day for 4 days = $1,200 Materials: approx. $5/person X 25 people = $125 Room Rental = $75 Travel for Trainers = Flight $300/person X 2 people = $600 Per Diem - $46/day x 4 days x 2 people = $368	$2,368
5. To be selected	Data Analysis	$1,800
6. To be selected	Responsible Server Training Trainer: rate $500/day	$500
7. To be selected	Television advertising to run ads 5x/week x $50/ad X 52 wks.	$13,000
	TOTAL	$30,608

NARRATIVE JUSTIFICATION: Explain the need for each agreement and how their use will support the purpose and goals of this proposal. For those contracts already arranged, please provide the proposed categorical budgets. For those subcontracts that have not been arranged, please provide the expected Statement of Work, Period of Performance and how the proposed costs were estimated and the type of contract (bid, sole source…ect.)

FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF424A): **$30,608**

G. Construction: NOT ALLOWED
On your SF424A, leave the following section blank: Section B columns 1&2 line 6g

H. Other: Expenses not covered in any of the previous budget categories

TABLE 7: FEDERAL REQUEST

Item	Rate	Cost
1. Rent	$500/mo x 12 mo.	$6,000
2. Telephone	$100/mo. x 12 mo.	$1,200
3. Student Surveys	$1/survey x 2784	$2,784
4. Brochures	.89/brochure X 1500 brochures	$1,335
5. Web Service	$100/mo x 12 mo	$1,200
	TOTAL	$15,819

NARRATIVE JUSTIFICATION: Explain the need for each item and how their use will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit: i.e. cost/square foot and explain the use of each item requested.

FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF424A): **$15,819**

TOTAL DIRECT COSTS:
FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF424A): **$120,474**

TOTAL INDIRECT COSTS:
FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A): **$4,526**

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs
FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A):**$125,000**

TABLE 8: BUDGET SUMMARY

Category	Federal Request	Total
Personnel	$52,765	$52,765
Fringe	$10,896	$10,896
Travel	$6,340	$6,340
Equipment	0	0
Supplies	$4,046	$4,046
Contractual	$30,608	$30,608
Other	$15,819	$15,819
Total Direct Costs*	$120,474	$120,474
Indirect Costs	$4,526	$4,526
Total Project Costs	$125,000	$125,000

Appendix E

Letter of Commitment Template

Jane Jones
National Coordinator for Health Information Technology
Department of Health and Human Services
330 C. Street, 7th Floor, Office 7009A, S.W.
Washington, DC 20201

Date

Dear Ms. Jones,
(Name of organization/group submitting the letter) is very interested in addressing (insert the issue being addressed by the grant application) and (state why the issue is a concern).

(State knowledge of proposal, knowledge of agency submitting proposal, and encouragement of funding entity to provide resources to address issue identified above).

(State that the need to address the issue is significant and how other resources to address the need are insufficient to address or impact the need).

(Specifically state how your organization will support this project-through assistance with meeting matching requirements, board/commission participation, advocacy etc.).

(Describe your capacity and resources to produce required deliverables or services for the applicant)

(State how the organization will coordinate with appropriate partners to ensure efficient and effective use of grant funds).

(Conclude with general statement of confidence in and support for the organization seeking assistance, based on past experience with the applicant entity, reputation for effectiveness).

(Provide the following information for the point of contact in the supporting organization).
Name
Title
Agency
Division (if applicable)
State
Address
Phone
Fax Number
Email