American Recovery and Reinvestment Act of 2009:
Information Technology Professionals in Health Care:
Workforce Training to Educate Health Care Professionals in Health Information Technology

Program Guidance
Funding Opportunity Announcement
Fiscal Year 2015
FOA Release Date: February 3, 2015
Application Due Date: April 6, 2015
Anticipated Award Date: May 1, 2015

Legislative Authority: American Recovery and Reinvestment Act of 2009 (Recovery Act), Division A—Appropriations Provisions, Subtitle B—Information Technology Professionals in Health Care, Section 3016 of the Public Health Service Act (PHSA)
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Executive Summary

This funding opportunity will establish 5-7 cooperative agreements to update materials and develop a training program to further the Workforce Training Programs – Community College Consortia to Educate Health Information Technology Professionals in Health Care and the Curriculum Development Centers cooperative agreement programs funded under the American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5. The purpose of the Workforce Training Program is to provide assistance to institutions of higher education, or consortia thereof, to establish or expand medical health informatics education programs to promote the rapid and effective utilization and development of health information technologies.

The Recovery Act, signed into law February 17, 2009, included an estimated $167 billion over ten years for programs at the Department of Health and Human Services (HHS). HHS Recovery Act activities support efforts to increase access to health care, protect those in greatest need, expand educational opportunities, and modernize the Nation’s infrastructure. Of these funds, $118,000,000 was allocated to support cooperative agreements under the Workforce Training Program. The original program did not expend the entire $118,000,000, and the remaining $6,400,000 in funding will be reallocated under the same intent. The new program, Workforce Training to Educate Health Care Professionals in Health Information Technology (WTPHIT), will build on previous training programs. It will expand the existing workforce training materials to incorporate Meaningful Use criteria and related care transformation programs that have been introduced, or have been updated, since the Affordable Care Act was signed into law on March 30, 2010.
Opportunity Overview

**Funding Opportunity Announcement Title:** Information Technology Professionals in Health Care: Workforce Training to Educate Health Care Professionals in Health Information Technology

**Federal Funding Agency:** Office of the National Coordinator for Health Information Technology (ONC), U.S. Department of Health and Human Services (HHS)

**Announcement Type:** New Award

**Funding Opportunity Number:** WF-WF-15-300

**Catalog of Federal Domestic Assistance (CFDA) Number:** 93.721

**Key Dates and Submission Information:** Table 1 presents the expected number of awards, available funding, submission and award schedule for these training grants. Successful applications will be awarded a two-year cooperative agreement.

<table>
<thead>
<tr>
<th>Number of Awards</th>
<th>Funding Available</th>
<th>Notice of Intent Date</th>
<th>Application Due Date</th>
<th>Anticipated Award Announcement Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-7</td>
<td>$6,400,000</td>
<td>March 2, 2015</td>
<td>April 6, 2015</td>
<td>May 1, 2015</td>
</tr>
</tbody>
</table>

Applicants are strongly encouraged to submit a non-binding e-mail notice of intent to apply for this funding opportunity to assist ONC in planning for the application review process by 11:59 P.M. Eastern Time, March 2, 2015. This notice should simply identify the name of the applicant organization, the city and state in which the applicant organization is located, and identify the Funding Opportunity Announcement number WF-WF-15-300 and Title: Workforce Training.

Notices of Intent should be sent to workforcefoa@hhs.gov by 11:59 P.M. Eastern Time, March 2, 2015.

ONC will conduct an informational session to provide information related to this FOA. The purpose of the session is to:

- Discuss the background, purpose and scope of services requested in the FOA;
- Explain the eligibility and application requirements;
- Describe the application review process; and
- Provide an opportunity for interested parties to ask questions about the FOA.

To ensure that ONC addresses all comments and questions regarding this announcement during the technical assistance calls, please submit any questions via email to workforcefoa@hhs.gov no later than three days prior to the call.

1 Funding Opportunity Description

1.1 Background

The purpose of this funding is to update the health information technology (health IT) instructional training material developed under cooperative agreements that were initially funded under FOA-OC-HIT-10-001. Progressive changes to the Medicare and Medicaid Electronic Health Record (EHR) Incentive Programs require these outdated materials to be updated to reflect modern care delivery processes. Furthermore, the Patient Protection and Affordable Care Act (ACA) establishes new programs that require the use of health IT to improve and coordinate care, develop and sustain data infrastructure necessary for multi-payer value-based payment, and integrate clinical and claims data to enable data analytics for informed decision making and streamlined reporting. The current health IT instructional training material, developed under the original Curriculum Development Centers cooperative agreement program, needs to be updated to address four areas relevant for improved care delivery:

1. Population health,
2. Care coordination,
3. New care delivery and payments models, and
4. Value-based care.

Instructional training materials are specifically needed to address the training needs of those working in team-based care environments, long-term care facilities, patient-centered medical homes, accountable care organizations, hospitals, clinics, and other care settings.

In addition to updating current health IT instructional material, funding will support training for health professionals using the new materials. Professionals trained by this workforce program provide key support to federally-funded programs, such as the Regional Extension Center program (REC), the State Health Information Exchange (HIE) program, Beacon Community Program, and the State Innovative Model (SIM). The accelerated pace of change from new and expanding technology will continue to be an ongoing challenge for preparing a skilled workforce. Meaningful Use and advanced health IT systems will require on-the-job training and continuous learning for employees in a rapidly changing environment. To meet the promise of better health care, better health, and lower costs through health IT, all levels of health professionals will require some level of training, including front desk staff, physicians, nurses, pharmacists, health care managers, and other allied health professionals.

1.2 Purpose

The American Recovery and Reinvestment Act, under section 3016 of the Public Health Service Act (PHSA), Information Technology Professionals in Health Care, authorizes “assistance to institutions of higher education (or consortia thereof) to establish or expand health informatics education programs, including certification, undergraduate, and master’s degree programs, for both health care and information technology students to ensure the rapid and effective
utilization and development of health information technologies in the United States health care infrastructure.” The program established under Section 3016 will consist of at least two components described in one Funding Opportunity Announcement.

This funding opportunity is designed for two years. In the first year, 5-7 applicants will receive awards to update the health IT instructional training material that was initially developed under the Curriculum Development Centers Cooperative Agreement. Existing training materials are available on the ONC website at: http://www.healthit.gov/providers-professionals/health-it-curriculum-resources-educators.

The grantees will convene an advisory board or equivalent entity to update the existing training materials. The advisory board will consist of:

- Academic institutions,
- Industry experts,
- Employers,
- Standards-based organizations,
- Business and consumer stakeholders,
- Health care associations,
- ONC grantees and constituents, including RECs, State HIEs, Beacon Communities, and ONC Fellows, and
- State Innovative Models (SIM) grantees.

ONC is seeking grantees to update training materials in four key topic areas:

1. Population health,
2. Care coordination,
3. New care delivery and payments models, and
4. Value-based care.

The grantees will update health IT instructional training materials to include these four key topic areas. Specifically, the material should include competencies such as leveraging interoperable health IT, new value-based payment models, the Medical Home model, data analytics, tele-health, consumer engagement, care automation tools, patient safety and quality of care, population health, and accountable care organizations.

Updated training materials will be publicly available at the end of the program’s period of performance or 24 months from start date.

In the second year, grantees will collectively train approximately 6,000 incumbent health care workers with the updated materials. Once the training material has been updated, grantees will work together to develop one training program that can be used to train staff members in organizations that include, but are not limited to, accountable care organizations, patient centered medical homes, solo practices, group practices, safety net clinics, hospitals, private practices, and health systems. Completion of the training needs to be accomplished within the span of 5 days or less. The curriculum must have the flexibility to be conducted through various training approaches, including, but not limited to, in-person, web-based, and train-the-
trainer. Additionally, grantees will use updated training materials to develop a baseline health IT curriculum that can be taught in a traditional academic capacity over a course of 2-4 semesters or its equivalent. This baseline curriculum will be made publicly available.

Based on assessments from the previous Workforce Training Program, the priority gap areas where incumbent workers need improved skills to perform new job functions include ensuring the rapid and effective use of interoperable health IT systems, coordinating care more effectively, and improving quality of care. Table 2 explains these priority topic areas in more detail in later sections. Although the focus areas are grouped with further qualifying examples, the intent is to help delineate topics and competencies, recognizing a competency often applies to more than one topic area.

Table 2. Priority Topic Areas

<table>
<thead>
<tr>
<th>Topic Area</th>
<th>Proposed Competencies</th>
</tr>
</thead>
</table>
| Population health management                    | ▪ Running registry reports  
▪ Planning for population health  
▪ Data collection, storage, and management  
▪ Population monitoring and stratification  
▪ Interaction with and reporting to public health agency registries  
▪ Patient engagement and team-based interventions |
| Care coordination and interoperable health IT systems | ▪ Patient registries, including by clinical and administrative data from a variety of sources  
▪ Care management automation tools  
▪ Privacy and security  
▪ Types of exchange methods  
▪ Direct secure messaging and Stage 2 MU  
▪ Coordination with caregivers and community social services using health IT  
▪ Patient engagement methods, tools, and processes  
▪ Analytic tools to help evaluate, improve, and report on organizational, practice, and provider performance  
▪ Tele-health tools services and workflow redesign  
▪ Admission, discharge, and transfer feeds |
| New care delivery and payment models            | ▪ Accountable Care Organization (ACO), Patient Centered Medical Homes (PCMH), and other models of care  
▪ Assessing and continual quality improvement in the way patient care is delivered at all levels in a care delivery organization  
▪ Achieving patient safety  
▪ Clinical outcomes and quality care through process redesign and IT implementation  
▪ Effectively blending people, processes, and technology across departments and clinical fields of expertise  
▪ Bringing together claims and clinical data from a variety of data sources to examine utilization and outcomes measurement |
<table>
<thead>
<tr>
<th>Topic Area</th>
<th>Proposed Competencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Value-based care</td>
<td>- How to reduce readmissions</td>
</tr>
<tr>
<td></td>
<td>- How to improve transitions of care through better coordination</td>
</tr>
<tr>
<td></td>
<td>- EHRs usability to access wealth of data</td>
</tr>
<tr>
<td></td>
<td>- Leverage EHR data to identify variations in clinical practice, utilization rates, and performance against internal and external benchmarks, leading to improved quality and a sustained change in culture</td>
</tr>
</tbody>
</table>

Also during the second year of funding, each grantee will begin their training programs. Training programs may be implemented through various modes, including, but are not limited to, in-person, web-based, and train-the-trainer. Implementation of the training and materials designed and updated for this program should be conducted by academic institutions or health IT training organizations through a model or approach that best fits the existing needs of the health care professionals being trained. While incumbent health care workers are the target audience, grantees should consider marketing their programs to local displaced health care workers, clinical staff, and Veterans. Grantees also should ensure they are able to provide training to those in underserved populations. Each grantee will be responsible to train approximately 1,000 students per grant award.

1.3 Scope of Services

The funding is designed to update resources and materials by grantees to ensure that evolving needs in the field of health care and health IT are incorporated into training programs. Grantees awarded funding will develop and/or update curriculum and learning resources that will be made available to the public. Collectively, grantees also will train a total of 6,000 incumbent health care professionals. Each recipient will train approximately 1,000 health care professionals.

Prior to updating and implementing the training and learning resources, the grantees will work together to perform a preliminary assessment and evaluation to determine additional details on content and requirements through the following:

- Performing a gap analysis of the existing ONC training materials and making recommendations to ONC;
- Convening an advisory board to advise on the development of training criteria and materials for the training model or approach;
- Field-testing draft components/units of revised training materials by the Advisory Boards constituents partners and stakeholders;
- Reconvening stakeholders to review and approve the proposed training prior to launch; and,
- Making updated training materials 508 compliant and available through an on-line vehicle, such as ONC’s website, beyond the project period of performance.

All training delivered shall include an assessment of all professionals trained during the project period of performance, by way of a survey or other assessment to capture the number of professionals trained and other employment outcomes.
1.4 Program Evaluation

Recipients are required to cooperate with the ONC directed national program evaluation. Evaluation criteria can include, but are not limited to, individuals trained, evaluation of the training, whether trainee received promotions, salary increases, new jobs, new titles, and demographic information. Grantees will be required to use ONC’s Customer Relationship Management Tool (CRM). The CRM will be used for tracking and evaluating progress of grantees. After awards are made, ONC will provide the grantee with access to the CRM. Additional instructions for this system will be provided post award.

1.5 Statutory Authority

The statutory authority for this re-obligation is section 3016 of the Public Health Service Act.

2 Award Information

2.1 Summary of Funding

Table 3. Summary of Funding Information

<table>
<thead>
<tr>
<th>Type of Award</th>
<th>Re-obligation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Funding Available</td>
<td>$6,400,000</td>
</tr>
<tr>
<td>Number of Awards</td>
<td>5-7</td>
</tr>
<tr>
<td>Range of Awards</td>
<td>$800,000 to $2,000,000</td>
</tr>
<tr>
<td>Project Period and Budget Period</td>
<td>June 1, 2015 – May 31, 2017</td>
</tr>
<tr>
<td>Estimated Start Date</td>
<td>June 1, 2015</td>
</tr>
</tbody>
</table>

*Materials developed through this funding will be made publicly available at the end of the project period.

ONC will evaluate the grantee’s performance quarterly to ensure the project is meeting criteria described under Scope of Services, including the gap analysis and convening of subject matter experts.

ONC reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available after the original selections are made. Any additional selections for awards will be made no later 12 months after the original selection decisions.

2.2 Intellectual Property/Copyrights

The Government reserves all rights granted by, and the recipient agrees to be bound by, Administrative Requirements, Cost Principles, and audit requirements as codified in 2 CFR Part 200 regarding rights in intangible property, 2 C.F.R. § 200.315, which is specifically incorporated herein. Generally, the recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under this award. The Government reserves a
3 Eligibility Information

3.1 Eligible Applicants

This funding opportunity is open to the public in the United States. Considering the timeframe and the amount of funding available to execute and accomplish workforce training goals, ONC anticipates that applicants will have experience and a working knowledge of the previous work product and the ability to update and develop materials as specified in the FOA. ONC also anticipates that the applicants will have experience in training Health IT professionals as specified in the FOA.

3.2 Cost-Sharing or Matching

None

3.3 Other

3.3.1 Application Screening Criteria


All of the applicants must provide signed letters of commitment and budgets as part of the application.

The Project Narrative Section of the Application must be double-spaced, on 8½” 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 and Sample Formats, and also for exhibits and figures, though all text in exhibits and figures must not be below 8 point font.

The Project Narrative must not exceed 20 pages. Any pages over the limit will not be reviewed. NOTE: Project Abstracts do not count as part of the Project Narrative.

3.3.2 Application Completeness Criteria

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

The applicant does not meet the eligibility criteria as required by Section III A, Eligible Applicants.

The Application is not received by the deadline required by Section IV. C, Submission Dates and Times.
4 Application and Submission Information

4.1 Address to Request Application Package

Application materials will be available for download at http://www.grants.gov. ONC requires full applications for all announcements to be submitted electronically through http://www.grants.gov. Applicants will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application electronically via: http://www.grants.gov.

APPLICATIONS WILL NOT BE ACCEPTED THROUGH ANY OTHER WEBSITE AND WILL NOT BE ACCEPTED THROUGH PAPER MAIL, COURIER, OR DELIVERY SERVICE.

APPLICANTS ARE STRONGLY ENCOURAGED TO COMPLETE AND SUBMIT APPLICATIONS AS FAR IN ADVANCE OF THE SUBMISSION DEADLINE AS POSSIBLE. THE APPLICATION INCLUDING ALL REQUIRED ATTACHMENTS AND INCLUDED FILES FOR POTENTIAL CONSIDERATION IN THE REVIEW PROCESS MUST BE RECEIVED BY 11:59 PM EASTERN TIME ON THE DATE SPECIFIED IN SECTION 4.3 BELOW.

Application procedures:

- Applicants must access the electronic application for this program via http://www.grants.gov. Search the downloadable application page by the Funding Opportunity Number WF-WF-15-300 or CFDA number (93.721).
- All applicants should have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the System for Award Management (SAM). Allow a minimum of five days to complete the SAM registration.
- Submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- Ensure that the application complies with any page limitation requirements described in this Funding Opportunity Announcement.
- After electronically submitting your application, an automatic email notification will be sent to confirm your application was received. This notification does not provide assurance that your application was complete, only that the application was received.
- After ONC reviews the submission, a return receipt will be emailed to the applicant, indicating the files that were received and able to be successfully opened and read.
- Organizations applying for federal grants will need to be registered with the System for Award Management (SAM). You can register with the SAM online in about 30 minutes (http://www.sam.gov). If you have already registered with SAM but have not renewed your registration in the last 12 months, you must renew your registration at http://www.sam.gov.
4.2 Content and Form of Application Submission

4.2.1 Project Abstract
Applicants shall include an abstract of the application of no more than two pages, single spaced, and has a maximum of 500 words. This abstract is often submitted to provide information to the public and Congress and should present a high-level project summary. Applicants should prepare a clear, accurate, and concise abstract that can be understood without reference to other parts of the application and which gives a description of the proposed project, including: the project’s goal(s), objectives, overall approach (including partnerships), anticipated outcomes, products, and duration.

The Project Abstract must have a font size of not less than 11 point.

The applicant must 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
- Applicant Address
- Contact Name
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable

4.2.2 Project Narrative
The application will include a narrative on the approach to using the funds to develop quality learning resources that meet the evaluation criteria described in Section V. Evaluation Criteria. The narrative must provide the reader with an understanding of how the applicant will develop the learning resources to align with the four key topic areas identified in the FOA, which are: population health, care coordination, new care delivery and payments models, and value-based care.

The Project Narrative must be double-spaced, on 8 ½” x 11” pages with 1” margins on all sides, and use either Calibri or Times New Roman font with a font size of not less than 11 point. Smaller font sizes may be used to fill in the Standard Forms and Sample Formats and also for exhibits and figures, though all text in exhibits and figures must not be below 8 point font. Project narratives should be no more than 20 pages. ONC will not review Project Narrative pages beyond the 20 pages allowed. The Project Abstract will not be counted as part of the narrative.

The components of the Project Narrative counted as part of the 20 page limit include:

- Problem Statement
- Targeted Topic Areas
- Proposed Approach
- Collaborator Involvement
- Project Management
- Evaluation
The Project Narrative is the most important part of the application because it will be used as the primary basis to determine whether the application meets the minimum requirements, and it will serve as a primary basis for the review. The Project Narrative must provide a clear and concise description of your goals, objectives, strategy, and outcomes.

4.2.3 Problem Statement
This section should describe, from the applicant’s perspective, the benefits of having these educational materials and the challenges of creating them. (<1 page)

4.2.4 Targeted Topic Areas
This section should describe which of the four topic areas the applicant is prepared to address. The applicant’s current experience with training in these topic areas should be discussed. Applicants should address a minimum of 1 and a maximum of 4 topic areas. (2-3 pages)

4.2.5 Proposed Approach
This section should provide a clear and concise description of the applicant’s approach to updating training materials and addressing the challenges described in the “Problem Statement.” This should consist of a detailed development plan. It also should discuss the applicant’s knowledge of the training work product and use of ONC training materials. The applicant should discuss how the training materials will be updated, how a standard curriculum will be developed, and how version control will be maintained. The applicant should describe plans for collaborating with experts in training development and learning institutions. Possible anticipated collaborations could include community colleges, universities, professional training organizations, health care and health IT subject matter experts to shape the materials to for incumbent workers and to also develop a baseline health IT curriculum. Applicants also should include a description of how instructional developers will be incorporated into the project approach. The applicant also should note any major barriers they anticipate encountering and how they anticipate overcoming barriers.

This section should describe the instructional technology and format that the applicant would prefer to use for creating the modules, recognizing that the final decision will be a collective one among all funded development sites.

The applicant will describe the how the training will be disseminated and the method(s) in which they will train incumbent health care professionals. The applicant also will describe marketing strategies to train approximately 1000 health care professionals and provide details on how they will track individuals trained. (5-6 pages)

4.2.6 Collaborator Involvement
This section should describe the role and makeup of any other strategic collaborators the applicant plans to involve in implementing the approach, including, but not limited to, other institutions of higher education, employer groups, health IT organizations, accreditation bodies, RECs, HIEs, Beacon Communities, consumers, and the private industry. (1-2 pages)
4.2.7 **Project Management**
This section should include a clear delineation of the roles and responsibilities of project staff, participating faculty members, consultants and collaborating organizations, and how each will contribute to achieving the project’s outcomes. It should specify who will have day-to-day responsibility for key tasks such as: project leadership; monitoring the project’s on-going progress, preparation of reports; communications with other collaborating organizations and ONC. It also should describe the approach for monitoring and tracking progress on the project’s tasks and objectives. (1-2 pages)

4.2.8 **Evaluation**
The applicant will describe how they will track evaluation criteria as outlined under Program Evaluation. (1-2 pages)

4.2.9 **Work Plan**
The project work plan should reflect and be consistent with the project narrative and budget and should cover both years of the project period. The work plan should identify important milestones and each major task or action step needed to reach those milestones. For each major task or action step, the work plan should identify timeframes involved, including start and end dates. (1-2 pages)

4.2.10 **Process for Dissemination of Learning Resources**
This section should include the approach for administering training. It should describe the target audiences and illustrate the benefits that will come from this training and inform how the training will affect the environment in which the training is taken. This section also will describe the plans to market this training program. (1-2 pages)

4.2.11 **Budget Forms:**
All applicants are required to complete the following budget forms to include the costs associated with the proposed project activities. These forms will be submitted through grants.gov as part of the application package and will include the following:

- Application for Federal Assistance SF-424,
- Budget Information for Non-Construction Programs SF-424A,
- Assurances for Non-Construction Programs SF-424B, and
- Disclosure of Lobbying Activities SF-LLL.

Please note that these forms do not replace program-specific guidance provided in this funding opportunity announcement. Additional instruction regarding budget forms can be found in Appendix A.

4.2.12 **Budget Narrative/Justification**
All applicants are required to provide a detailed budget that includes the costs necessary to support project activities. The budget narrative/justification must include the allowable costs that will be incurred in support of the cooperative agreement. Costs may not be incurred until the begin date of the award, as indicated on the official Notice of Award. Whether direct or indirect, costs must be allowable, allocable, reasonable and necessary under the applicable OMB CostCirculars. See [http://www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars) as well as programmatic and financial requirements, as part of the terms and conditions of the award.
The duration of this award is for a maximum of 24 months (2 years).

4.2.13 Letters of Commitment
Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For example, letters could include community college, university collaborators, and/or organizations providing professional instructional design for the materials. Signed letters of commitment should be scanned and included as attachments. In the transmission, the applicant must include the funding opportunity number and the organization’s name.

4.3 Submission Dates and Times
The deadline for the submission of applications under this Program Announcement is April 6, 2015. Applications must be submitted electronically by 11:59 p.m. Eastern Time, April 6, 2015.

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration.

Grants.gov will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in Grants.gov. After each application is retrieved by ONC from Grants.gov, a return receipt will be emailed to the applicant. This will be in addition to the validation number provided by Grants.gov.

4.4 Intergovernmental Review
This program is excluded from Executive Order 12372.

4.5 Funding Restrictions
Funds under this announcement cannot be used for the following purposes:

- To supplant or replace current public or private funding;
- To supplant on-going 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; or,
- To fund activities or costs that are directly prohibited by the Recovery Act.

4.6 Other Submission Requirements

NON-DISCLOSURE REQUIREMENTS
This cooperative agreement may require the grantee 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. Therefore, the grantee shall ensure that all its personnel (to include chief executives, directors, any consultants, or sub recipients or any other personnel that are substantially involved in the performance of this
cooperative agreement) who will be personally and substantially involved in the performance of this cooperative agreement:

- Execute and submit Non-Disclosure Agreements prior to the commencement of any work on the cooperative agreement; and, The grantee 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, as defined above.

**POTENTIAL FOR ORGANIZATIONAL AND PERSONAL CONFLICTS OF INTEREST (COI)**
The term “organizational conflict of interest” means that the applicant (which term hereinafter shall be deemed to include its chief executives, directors, any consultants, or sub recipients or any other personnel that are substantially involved in the performance of this cooperative agreement) has interests in which:

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

In accordance with Section 200.112 All applicants and Non-federal entities must disclose in writing any potential conflict of interest (COI) that they have with the HHS awarding agency and/or any other pass-through entities. The applicant shall notify the HHS awarding agency and their respective grants management officer (GMO) when they believe a COI may exist. If after award, an awarded grantee discovers a COI, with respect to this cooperative agreement, it shall make an immediate and full disclosure in writing to the grants management officer. The disclosure shall include identification of the conflict, the manner in which it arose, and a description of the action the grantee has taken, or proposed to take, to avoid, eliminate, or neutralize the conflict.

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

The rights and remedies of the Government provided in this clause shall not be exclusive and are in addition to any other rights and remedies of the Government provided by law or under this cooperative agreement.

5 Application Review Information

5.1 Criteria

Selection factors ensure consistency with work provided for in the original FOA-OC-HIT-10-001.
Applications that meet the criteria described in Section III A, as described above.

The following section describes the evaluation criteria for the cooperative agreement program which will apply to award. In preparing applications, applicants are strongly encouraged to review the programmatic requirements detailed in Section I, Funding Opportunity Description. The application must be organized as detailed in Section IV, Application and Submission Information of this solicitation.

Applications will be scored based on 100 available points. Reviewers will use the criteria described in the following section to evaluate applications received in response to this solicitation.

5.2 Objective Review Criteria

The proposed activities for this award should reflect the goal to educate incumbent health care workers using updated training materials that can facilitate the implementation and support of an electronic health care system. The award activities should address the topics discussed in this funding announcement that have emerged since the time of the original awards that were objectively reviewed and approved FOA-OC-HIT-10-001. The description of such activities should include a plan to accomplish the project goals of the award within the timeframe proposed.

The following criteria will be used to evaluate applications:

- Understanding of Project Purpose (25 points)
- Applicant Capabilities (35 points)
- Approach, Work Plan, and Activities (20 points)
- Process for Dissemination of Learning Resources (10 points)
- Budget Justification (10 points)

5.2.1 Understanding of Project Purpose (25 points)
Extent to which the applicant presents a clear understanding of the purpose and scope of the proposal. This section must include:

- The applicant’s understanding of the health care system and the need to address the health IT training needs for health care professionals.
- The applicant’s understanding of the learning resources that will provide appropriate material for incumbent workers based on the four topic areas listed in the FOA.

5.2.2 Applicant Capabilities (35 points)
- Strength of evidence that the applicant brings the organizational and personnel capabilities needed for successful project implementation.
- Extent to which the applicant demonstrates support from key program partners and stakeholders, including providers.
- Degree to which the applicant can show evidence of working knowledge and use of existing training materials.
• High level of evidence that the applicant has the capacity and ability to update training materials, develop a training program for Health IT Professionals, and create a base curriculum per the guidance of this FOA.

• Degree of evidence that applicant can execute a plan to train minimum of 1000 (per award) Health IT professionals in one year.

5.2.3 Approach, Work Plan and Activities (20 points)

• Extent to which the applicant outlines a clear knowledge of the resources of the original workforce training materials developed.

• Clear strategy to update the four topic areas as identified: describing the knowledge skills and abilities to be developed, developing teaching strategies; addressing the following topics: Population Health, Transformation of Care, New Care and Delivery Payments Models, and Value Based Care. Competencies within the topics include Meaningful Use criteria, leveraging interoperable health IT, new value-based payment models, the Medical Home model, data analytics, tele-health, consumer engagement, care automation tools, patient safety and quality of care, population health, and accountable care organizations.

• Extent to which the proposed approach is feasible within the timeline and includes clear benchmarks for number of students trained, type of workers, and administration of standardized student assessment. The extent to which the application includes a project approach and specifies the technology that will be used to achieve the desired outcomes. The plan must also include timelines, resources, partners, and major milestones and align with the budget.

5.2.4 Process for Dissemination of Learning Resources 10 points

• Extent to which the applicant plans to openly share and offer for re-use the technologies, best practices, and infrastructure developed through this program.

• Extent to which the applicant plans to use and participate in an open, transparent process to develop the program and share implementation experience as the program develops, including both successes and opportunities for improvement.

5.2.5 Budget Narrative/Justification (10 points)

• Extent to which the proposed levels of effort of the project director, key personnel, and consultants are adequate to advance the project in accordance with timelines.

• Extent to which the budget is justified with respect to the adequacy and reasonableness of resources requested, and the extent to which the amount of the budget allocated to administration is minimized, while still allowing coherent management of an integrated project.

• Adequate justification to support costs included in budget.

5.3 Review and Selection Process

An independent review panel of at least three individuals will evaluate applications that meet the initial screening criteria (i.e., are found to contain the required application elements). These reviewers will be experts in their field, and will be drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies. These reviewers are selected with regard to both their specialized expertise and the absence of conflict-of-interest issues. The applicant, by submitting its proposal, consents to the use of non-federal reviewers/
administrators. Non-federal reviewers will be required to sign a conflict of interest agreement before proceeding to review any application. Federal reviewers will be required to submit a Financial Disclosure form. All reviewers are also bound by appropriate obligations of conflict of interest and confidentiality prior to reviewing an application. Based on the application review criteria as outlined in this funding announcement, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

The final award decision will be made by the Office of the National Coordinator for Health Information Technology (ONC). In making this award, the ONC will take into consideration: the merit of the proposed project as determined by merit review; compliance with programmatic and grants management requirements; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; the relevance of the proposed project in relation to named program priorities; and the likelihood that the proposed project will result in the benefits expected.

6 Award Administration Information

6.1 Award Notices

ONC will issue a letter of notification acknowledging that an award was funded. However, the notification does not provide authorization for the applicant to begin performance and expend funds associated with the award until the start date of the award as indicated in the notice. All applicants will receive a summary of the objective review panel's assessment of the application’s merits and weaknesses.

The Notice of Grant Award (NGA) will include the amount of funds awarded, the terms and conditions of the cooperative agreement, the effective date of the award, the budget period for which support will be given, any required match to be provided, the total project period timeframe, and the total approved budget. The NGA is then signed by the ONC Grants Management Officer. The successful applicants’ Authorized Representatives will receive the NGA electronically from ONC. The NGA is considered the official authorizing award document.

Administrative and National Policy Requirements


Post-Award Reporting Requirements

All reporting requirements will be provided to the applicant of a successful application, adherence to which is a required condition of any award. In general, the successful applicant under this guidance must comply with the following reporting and review activities:

1. Evaluation Requirements

   The recipient shall comply with requirements as outline in this FOA under section I. (D.) Program Evaluation.

2. Audit Requirements
The recipient shall comply with audit requirements of Office of Management and Budget (OMB) Uniform Guidance as codified in 2 CFR Part 200, Subpart F. Information on the scope, frequency, and other aspects of the audits can be found at http://www.ecfr.gov/cgi-bin/text-idx?SID=ed90f54836feb6a994f657188eb05e33&node =2:1.1.2.1&rgn=div5.

Financial Status and Cash Transaction Reports
Semi-Annual expenditures must be submitted for each fiscal year during the period of performance (October 1 through September 30) 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 Online Data Collection (OLDC) system. ONC will not accept reports sent directly to the ONC Grants mailbox.

The FFR Cash Transaction Report is submitted via the Payment Management System (PMS) every calendar quarter for the life of the grant. The report must be submitted within 30 days after the end of the quarter (January 31, April 30, July 31, and October 31). Grantees are required to complete the FFR Cash Transaction Report via the Payment Management System each calendar quarter.

Performance Reports
The awardee’s performance will be evaluated quarterly by ONC to ensure that the project is meeting program objectives.

The grantee shall submit semi-annual progress reports related to its projects and overall project performance to include how the specific activities tie back to each funding stream. A specific Performance Report format will be finalized by ONC following the award date.

ONC will work closely with the grantee through planning and implementation progresses in a collaborative way.

6.2 Standard Terms and Conditions- ONC Grants
This award is issued under the authority of the Public Health Service Act, Sec. 3011, as added by the American Recovery and Reinvestment Act, 2009 (P.L. 111-5). By receiving funds under this award, the recipient assures that it will carry out the project/program as authorized and will comply with the terms and conditions and other requirements of this award.


The terms and conditions of this Notice of Award and other requirements have the following order of precedence, if there is any conflict in what they require: (1) American Recovery and Reinvestment Act, 2009 (P.L. 111-5); (2) other applicable Federal statutes and their implementing regulations; (3) terms and conditions of award.
The recipient and any sub recipient shall comply with the most recent version of the HHS Grants Policy Statement, Administrative Requirements, Cost Principles and Audit Requirements. The following is a non-exclusive list of regulations commonly applicable to HHS/ONC grants:

6.3 Administrative Requirements

1. 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subparts B through D.

6.4 Cost Principles

1. 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E.

6.5 Audit Requirements

1. 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart F.

The recipient agrees that all allocations and use of funds under this award will be in accordance with the Funding Opportunity Announcement specific to this program.

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 award and/or ONC’s recovery of award funds.

The recipient understands and agrees to comply with 31 U.S.C. 1352, “Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions,” and will not use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government.

This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to http://www.hrsa.gov/grants/trafficking.htm. If you are unable to access this link, please contact Office of Grants Management at ONCGrants@hhs.gov

Green Procurement: To mitigate the environmental impacts of acquisition of IT and other products/equipment, grantees are encouraged to: (1) participate in “Green procurement” based on the HHS Affirmative Procurement Plan (https://view.officeapps.live.com/op/view.aspx?src=http%3A%2F%2Fwww.hhs.gov%2Fasfr%2Fogapa%2Facquisition%2F102010_hhs_affirmative_procurement_plan.doc) and similar guidance from the Environmental Protection Agency (EPA) and the President’s Council on Environmental Quality (CEQ); (2) use electronic products that are Energy Star® compliant and Electronic Product Environmental Assessment Tool (EPEAT) Silver registered or higher when available; (3) activate Energy Star® features on all equipment when available; (4) use environmentally sound end-of-life management practices, including reuse, donation, sale and recycling of all electronic products.
Requirements for System for Award Management (SAM) and Data Universal Numbering System (DUNS) numbers: Unless your entity is exempt from the SAM requirement under 2 CFR 25.110, it is incumbent upon you, as the recipient, to maintain the accuracy/currency of your information in the SAM until the end of the project. Additionally this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

If your entity is authorized to make sub awards under this award, you: 1) must notify potential direct sub recipients that no entity may receive a sub award from you unless the entity has provided its DUNS number to you and, 2) may not make a sub award to an entity unless the entity has provided its DUNS number to you.

Semi-Annual expenditures must be submitted for each fiscal year during the period of performance (October 1 through September 30) 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 Online Data Collection (OLDC) system. ONC will not accept reports sent directly to the ONC Grants mailbox.

The FFR Cash Transaction Report is submitted via the Payment Management System (PMS) every calendar quarter for the life of the grant. The report must be submitted within 30 days after the end of the quarter (January 31, April 30, July 31, and October 31). Grantees are required to complete the FFR Cash Transaction Report via the Payment Management System each calendar quarter.

The recipient indicates acceptance of the terms and conditions of the award and agrees to perform in accordance with the requirements of the award by requesting funds from the designated grant payment system.

Funding of future non-competing 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.

The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [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 reports are treated as sensitive material and complainants may decline to give their names if they choose to remain anonymous.
7 Agency Contacts

<table>
<thead>
<tr>
<th>Program Contact:</th>
<th>Grant Management Contact:</th>
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<tbody>
<tr>
<td>Cinyon Reed</td>
<td>Carmel Halloun</td>
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<tr>
<td>Program Analyst</td>
<td>Grants Management Officer</td>
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<td>Office of the National Coordinator</td>
<td>Office of the National Coordinator</td>
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<td>For Health Information Technology</td>
<td>For Health Information Technology</td>
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<tr>
<td>Department of Health and Human Services</td>
<td>Department of Health and Human Services</td>
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<tr>
<td>330 C Street, S.W.</td>
<td>330 C Street, S.W.; Suite 2010</td>
</tr>
<tr>
<td>Washington, D.C. 20201</td>
<td>Washington, D.C. 20201</td>
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<tr>
<td><a href="mailto:workforcefoa@hhs.gov">workforcefoa@hhs.gov</a></td>
<td><a href="mailto:workforcefoa@hhs.gov">workforcefoa@hhs.gov</a></td>
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8 Other Information

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 Recovery Act 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; or
- the communication is initiated by the federal agency official.

For additional information, see:

8.1 Appendix A – Instructions for Completing the Required Budget Forms

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are 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, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.
8.1.1 a. Standard Form 424

1. Type of Submission: (Required): Select one type of submission in accordance with agency instructions.

   • Pre-application • Application • Changed/Corrected Application – If requested, check if this submission is to change or correct a previously submitted application.

2. Type of Application: (Required) Select one type of application in accordance with agency instructions.

   • New • Continuation • Revision

3. Date Received: Leave this field blank.

4. Applicant Identifier: Leave this field blank.

5a. Federal Entity Identifier: Leave this field blank.

5b. Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award (grant) number.

6. Date Received by State: Leave this field blank.

7. State Application Identifier: Leave this field blank.

8. Applicant Information: Enter the following in accordance with agency instructions:

   a. Legal Name: (Required): Enter the name that the organization has registered with the System for Award Management. Information on registering with SAM may be obtained by visiting the www.sam.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.

   c. Organizational DUNS: (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.

   d. Address: (Required) Enter the complete address including the county.

   e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

   f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required),
fax number, and email address (Required) of the person to contact on matters related to this application.

9. **Type of Applicant:** (Required) Select the applicant organization “type” from the following drop down list:


10. **Name Of Federal Agency:** (Required) Enter U.S. Department of Health and Human Services

11. **Catalog Of Federal Domestic Assistance Number/Title:** The CFDA number can be found on page one of the Program Announcement.

12. **Funding Opportunity Number/Title:** (Required) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

13. **Competition Identification Number/Title:** Leave this field blank.

14. **Areas Affected By Project:** List the largest political entity affected (cities, counties, state).

15. **Descriptive Title of Applicant’s Project:** (Required) Enter a brief descriptive title of the project.

16. **Congressional Districts Of:** (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd 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.

17. **Proposed Project Start and End Dates:** (Required) Enter the proposed start date and final end date of the project. Therefore, if you are applying for a multi-year grant, such as a 2 year grant project, the final project end date will be 2 years after the proposed start date.

18. **Estimated Funding:** (Required) Enter the amount requested or to be contributed during each 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.

NOTE: Applicants should review cost sharing principles contained in Subpart E of 2 CFR Part 200 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the upcoming 2-year budget period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered funds creditable toward grantee cost share requirement. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of Federal funds being requested (the amount in 18a). For a full explanation of ONC’s cost sharing requirements, see the information in the box below. For sub-item 18f, enter only the amount, if any, which is going to be used as part of the cost share.

NOTE: 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-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.


20. Is the Applicant Delinquent on any Federal Debt? (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

8.1.2 Standard Form 424A

NOTE: 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 one 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 inkind contributions and any program income to be used as part of the grantee cost share contribution) 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 Detail Requirement
You must submit a separate Budget Narrative/Justification as part of your application. Please see Budget Detail, Page 1 – Sample Format with EXAMPLES for more detail. For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. 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-grantee (third party) in-kind contributions designated as contributing to the cost share proportion 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.

Line 6a – Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs 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?
• Dual Compensation
• 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, length of stay, subsistence allowances and transportation costs (including mileage rates).

**Some Points to Consider:**

- Is the basis for computation provided?
- Is the travel necessary for the purpose of the program?
- Are travel costs separately identifiable and reasonable (transportation, hotel, meals, and mileage)?
- Does the organization have a written travel policy? Is this travel policy being followed?
- If no written policy—must follow Federal guidelines.

**Line 6d – Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees, “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 subgrantees. 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?
- Office
- Training
- Research
- 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. 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/grantee intends to delegate more than 33% of a project’s total budget to the contractual line item, the applicant/grantee must provide a completed copy of Section B of the SF 424A Budget Categories for each sub-contractor or sub-grantee, and separate Budget Narrative/Justification for each sub-contractor or sub-grantee for each year of potential grant funding.**

**Some Points to Consider:**

- Is the type of each service to be rendered described?
- For Consultants/Individuals
  - Is an hourly, daily or weekly base rate given?
  - Are rates allowable, justified, reasonable and comparable to market?
- Is the total amount for any contract in excess of $150,000?
  - Is procurement method described?
  - 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 work plan. 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?
- 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.

**Line 6i – Total Direct Charges:** Show the totals of Lines 6a through 6h.

**Line 6j – Indirect Charges:** 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 subcontractors or sub-grantees 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.

**Line 6k – Total:** Enter the total amounts of Lines 6i and 6j.
Line 7 – Program Income: 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 credited as a non-Federal resource.

Section C NonFederal Resources

Line 12: Enter the amounts of nonFederal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Keep in mind that if the cost share requirement is not met, Federal dollars may be reduced.

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.

8.1.3 Standard Form 424B - Assurances
This form contains assurances required of applicants under the discretionary funds programs administered by the Assistant Secretary for Preparedness and Response. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

8.1.4 Certification Regarding Lobbying
This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant’s compliance with these certifications.

8.1.5 Other Application Components
Survey on Ensuring Equal Opportunity for Applicants
The Office of Management and Budget (OMB) has approved an HHS form to collect information on the number of faith-based groups applying for a HHS grant. Non-profit organizations, excluding private universities, are asked to include a completed survey with their grant application packet. Attached you will find the OMB approved HHS “Survey on Ensuring Equal Opportunity for Applicants” form (Attachment F). Your help in this data collection process is greatly appreciated.

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
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.

8.2 Budget Detail, Page 1 – Sample Format with EXAMPLES

These are sample costs as to how they should be reflected in the template, and are suggested to offer guidelines when applicants are completing their budget justifications. Justifications must include supporting detail and narrative justification for the costs proposed. Sufficient detail should be provided to demonstrate costs as they pertain to the administration of the project. In any case, the applicant should assure that the narrative and justification are legible and clearly provide all required information.

INSTRUCTIONS:

The Budget Detail must include the following information:

• An itemized breakout of proposed costs and sub-total of these costs for each Object Class Category listed in the template below.
• A breakout of proposed costs by whether they are funded through Federal, Non-Federal Cash or Non-Federal In-Kind support.
• A brief description of the expense or service in the Supporting Detail column, as they demonstrate costs pertaining to the administration of the project.
• The time period in which the cost will be utilized in the Supporting Detail column.
• Any pertinent information that will aid the reviewer in evaluating the proposed cost.
• The Budget Detail must be supported by a narrative justification of why the proposed costs are necessary and reasonable to fulfill the purpose and achieve the milestones of the proposed project, in context of the proposed technical approach. An example of such justification would be:
  • Project Administrator Salary Costs – assumes at least a master’s in public health or health administration, or equivalent degree, with at least 6 years’ experience managing health services, programs, or providers. Salary is typical for this level of qualifications and responsibility in the proposed service area. Assumes this position would provide executive-level direction and management oversight.
<table>
<thead>
<tr>
<th>Object Class Category</th>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
<th>TOTAL</th>
<th>Supporting Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$40,000</td>
<td>$5,000</td>
<td></td>
<td>$45,000</td>
<td>Project Administrator (name) = .3FTE @ $50,000/yr = $15,000 ($10,000 = federal; $5,000 = Non-federal cash)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Project Director (name) = 1FTE @ $30,000 = $30,000 (federal)</td>
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<td></td>
<td></td>
<td></td>
<td><strong>TOTAL:</strong> $45,000</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$12,600</td>
<td>0</td>
<td>0</td>
<td>$12,600</td>
<td>Fringes on Project Staff @ 28% of salary. (federal)</td>
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<tr>
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<td>▪ FICA (7.65%) = $3,442</td>
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<td>▪ Health (12%) = $5,400</td>
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<td>▪ Dental (5%) = $2,250</td>
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<td>▪ Life (2%) = $900</td>
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<td>▪ Workers Comp Insurance (75%) = $338</td>
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<td>▪ Unemployment Insurance (6%) = $270</td>
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<td><strong>TOTAL:</strong> $12,600</td>
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<tr>
<td>Travel</td>
<td>$4,120</td>
<td>$1,547</td>
<td></td>
<td>$5,667</td>
<td>Travel to 2 Annual Grantee Meetings: (federal)</td>
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<tr>
<td></td>
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<td>▪ Airfare: 1 RT x 2 people x $750/RT x 2 = $3,000</td>
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<td>▪ Lodging: 2 nights x 2 people x $100/night x 2 = $800</td>
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<td>▪ Per Diem: 2 days x 2 people x $40/day x 2 = $320</td>
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<td><strong>TOTAL:</strong> $4,120</td>
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<td>Out-of-Town Project Site Visits (Non-federal cash)</td>
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<td>Car mileage:</td>
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<td>▪ 3 trips x 2 people x 350 miles/trip x $.365/mile = $767</td>
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<td>▪ 3 trips x 2 people x 1 night/trip x $50/night = $300</td>
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<td>▪ 3 trips x 2 people x 2 days/trip x $40/day = $480</td>
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<td><strong>TOTAL:</strong> $1,547</td>
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<tr>
<td>Object Class Category</td>
<td>Federal Funds</td>
<td>Non-Federal Cash</td>
<td>Non-Federal In-Kind</td>
<td>TOTAL</td>
<td>Supporting Detail</td>
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</tr>
<tr>
<td>Equipment</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>No equipment requested</td>
</tr>
</tbody>
</table>
| Supplies              | $1,340        | $2,160           |                    | $3,500| ▪ Laptop computer for use in client intakes = $1,340 (federal)  
                     |               |                  |        |                   | ▪ Consumable supplies (paper, pens, etc.)  
                     |               |                  |        |                   | ▪ $100/mo x 12 months = $1,200 (Non-federal cash)  
                     |               |                  |        |                   | ▪ Copying $80/mo x 12 months = $960 (Non-federal cash)  
                     |               |                  |        |                   | TOTAL: $3,500 |
| Contractual           | $150,000      |                  | $50,000            | $200,000| Contracts to A, B, C direct service providers (name providers)  
                     |               |                  |        |                   | ▪ contractor A = $75,000 (federal)  
                     |               |                  |        |                   | ▪ contractor B = $75,000 (federal)  
                     |               |                  |        |                   | ▪ contractor C = $50,000 (Non-federal in-kind)  
                     |               |                  |        |                   | TOTAL: $200,000 |
| Other                 | $1,250        | $2,000           |                    | $3,250| ▪ Local conf registration fee (provide conference name) = $200 (Non-federal cash)  
                     |               |                  |        |                   | ▪ Printing brochures (25,000 @ $0.05 ea) = $1,250 (federal)  
                     |               |                  |        |                   | ▪ Postage: $150/mo x 12 months = $1,800 (Non-federal cash)  
<pre><code>                 |               |                  |        |                   | TOTAL: $4,200 |
</code></pre>
<p>| TOTAL                 | $209,310      | $10,707          | $50,000            | $270,017| ** |</p>
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<th>Object Class Category</th>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
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