U.S. Department of Health and Human Services

Office of the National Coordinator for Health Information Technology

Notice of Funding Opportunity

Closing the Gap between Standards Development and Implementation-Maturing the Consolidated Clinical Document Architecture (C-CDA) and Fast Healthcare Interoperability Resources (FHIR®) Standards

Assistance Listings (CFDA) Number

93.826

Application Due Date: August 11, 2022
Anticipated Award Date: September 13, 2022

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Table of Contents

Executive Summary

A. Program Description/Purpose
- Structure and Approach
- Performance Goals/Program Milestones

B. Funding Opportunity Award Information
- Key Award Parameters
- Key Dates
- Roles and Responsibilities Under a Cooperative Agreement
- Informational Session
- Notice of Intent

C. Eligibility Information

D. Application and Submission Information
- Application Package
- Application Submission Instructions
- Restrictions on Oral Conversations

E. Application Review Information
- Screening Review
- Merit Review
- Pre-Award Risk Assessment

F. Federal Award Administration Information
- Award Decisions
- Notice of Grant Award
- Terms and Conditions

G. Points of Contact

Appendix A – Tips for Writing a Strong Application
Appendix B – Instructions – SF-424 Application for Federal Assistance
Appendix C - Instructions – SF-424A, Budget Information for Non-Construction Programs
Appendix D – Budget Narrative/Justification Template
Appendix E – Letter of Commitment Template

Executive Summary

The Office of the National Coordinator for Health Information Technology (ONC) intends to award a single source cooperative agreement to Health Level Seven International (HL7®), an exclusive governing body of standards, to accelerate development of technical standards, provide necessary implementation support via implementation guides, and improve standards development infrastructure to enable health information technology (health IT) developers to implement and use standards effectively. This award will consist of a five-year period of performance. The first budget period (12 months) of the award will total $1,360,000. Future funding is subject to the availability of funds.

Enabling health care providers and patients to easily access, exchange, and use electronic health information (EHI) requires data that is structured and formatted consistently, and exchanged in a consistent and computable manner. Founded in 1987, HL7 is an American National Standards Institute (ANSI) accredited standards development organization (SDO). HL7's portfolio of standards includes HL7 v2,[1] v3,[2] Consolidated Clinical Document Architecture (C-CDA),[3] and Fast Healthcare Interoperability Resources (FHIR®).[4] HL7 standards provide the necessary syntactic and semantic interoperability for seamless access, exchange, and use of EHI.

HL7 standards are widely used in the healthcare industry to support access, exchange, and use of EHI for a variety of use cases including patient access to their EHI, clinical decision-making for patient care, and quality and public health reporting. For example, HL7 v2 standards are commonly used for public health reporting and delivering admission, discharge, and transfer notifications to support continuity of care. Millions of C-CDA documents have been exchanged between healthcare organizations participating in national health information networks like Commonwell and eHealth Exchange. Adoption of the HL7 FHIR standard is growing rapidly as healthcare organizations implement application programming interfaces (APIs) to more efficiently enable access to EHI.

[1] https://www.hl7.org/implement/standards/product_brief.cfm?product_id=185
[2] https://www.hl7.org/implement/standards/product_brief.cfm?product_id=186
[3] http://www.hl7.org/implement/standards/product_brief.cfm?product_id=7
[4] http://hl7.org/fhir/

A. Program Description/Purpose

Background Information

When a computer system receives EHI from another system, it needs the ability to process the information without time-consuming human intervention. This can only occur if the sending system has used a consistent data format that is known to – and expected by – the receiving system. Given the vast number of systems that exchange EHI, expecting each to negotiate and agree on exchange formats and methods with all other systems with which it interacts is impractical. To address this issue, stakeholders in the health IT ecosystem have organized themselves under the auspices of the HL7 standards development organization (SDO) to develop standardized data formats and exchange methods to support common use cases and business transactions. HL7 provides a collaborative environment for developing and maintaining the technical standards and accompanying implementation specifications/profiles that provide additional instructions to implementers.

HL7 possesses a unique skill-set, which includes being the exclusive SDO with the ability, authority, and intellectual property rights to develop and maintain many technical standards of significance to health information exchange and interoperability across health IT systems, such as the C-CDA and FHIR specifications and their accompanying implementation guidance. HL7 standards are developed through a public, transparent, and collaborative process and made freely available for use in the public domain.

HL7 cultivates a broad, multi-stakeholder standards development community and empowers the community to work with, improve, test, and implement HL7 standards. HL7 deploys and maintains tools that support collaboration and information sharing, infrastructure to enable the standards development community to ballot standards, and software for creating and publishing implementation guidance and managing terminologies. HL7 also supports the standards development community through educational programming, testing events and connectathons, and professional certification.

ONC is the principal federal entity charged with the coordination of nationwide efforts to implement and effectively use health IT. One of ONC's major strategic objectives is to advance the development and use of health IT capabilities. To this end, ONC has worked closely with HL7 for many years, including by entering into a series of cooperative agreements with HL7 beginning in 2015. ONC's support has enabled HL7 to develop many of the tools and standards development infrastructure that HL7 makes freely available to the public. ONC funding has directly contributed to the development of HL7 standards and implementation guides that are critical to the function of the US healthcare system.

Through this Notice of Funding Opportunity (NOFO), ONC will fund HL7 standards development and implementation activities under a cooperative agreement, which will enable ONC to work directly with HL7 to advance greater standardization and interoperability in areas of nationwide interest. Specifically, the cooperative agreement will improve the implementation consistency and readiness of the current and new versions of HL7 standards by achieving the following goals:

- Facilitate ongoing development and publication of HL7 standards for the benefit of the general public
- Enhance the underlying infrastructure necessary to effectively implement and use HL7 standards
- Empower the HL7 standards development community

Structure and Approach

Key Goals and Timeline

The goals and tasks listed below support HL7 standards development and implementation activities. The recipient of the cooperative agreement is expected to work closely with programmatic support offices at ONC to accomplish these goals. The recipient is encouraged to make the products of all standards development and implementation activities conducted under this cooperative agreement freely and publicly available.

Goal 1: Facilitate ongoing development and publication of HL7 standards for the benefit of the general public

Recipient is expected to facilitate general standards development and implementation activities to support health IT priorities identified by HL7 stakeholders. For example, the recipient may:

- Develop profiles, templates, terminologies, implementation guidance, and other technical content specifications.
- Facilitate balloting, testing, certifying, publishing, and other activities associated with the standards development process.
- Publish new or updated content models, transport specifications, implementation guidance, profiles, and other technical documentation associated with HL7 standards.
- Provide governance for the standards development process, including but not limited to policies and procedures, technical assistance, and administrative support for working groups and the balloting process.

Recipient should work with the standards development community and ONC as applicable to identify health IT priorities for standards development and implementation activities. Health IT priorities may include but are not limited to interoperability and health information exchange for public health, research, patient-generated health data, genomics, social determinants of health, clinical decision support, and population health.

Recipient is encouraged to facilitate standards development activities to support consistency in implementation experience. For example, the recipient may:

- Provide guidance for using terminology and vocabulary standards in specific CDA templates, including but not limited to standards from: Systemized Nomenclature of Medicine-Clinical Terms (SNOMED-CT), RxNorm, and Logical Observation Identifiers Names and Codes (LOINC).
- Develop and implement improvements to the CDA standards development process, e.g., a maturity model to accelerate the development of new CDA templates.
- Advance the maturity of the FHIR standard by supporting future releases of the FHIR standard, including support for additional normative content.

Goal 2: Enhance the underlying HL7 tools and infrastructure necessary to support effective implementation and use HL7 standards

Recipient is expected to facilitate standards development and implementation activities across the HL7 community by providing tools and other underlying infrastructure. For example, the recipient may provide:

- Tools for updating, creating, and publishing profiles and implementation guidance.
- Tools for testing the conformance of implementations to HL7 standards and implementation guidance.
- Infrastructure to enable the HL7 community and working groups to collaborate.

Recipient is encouraged to support the ongoing development and maintenance of existing tools, including but not limited to:

- The FHIR Implementation Guide Publisher.
- Tools associated with the Unified Terminology Governance project.
- The FHIR Registry.

Recipient should consider developing new tools, software, or platforms, or supporting ongoing development to and maintenance of existing tools, software, or platforms that enable:

- Conformance testing, creation/hosting of reference implementations, mapping between standards, publication of technical documentation, accelerator programs, or other activities that expand the capability of the healthcare industry to develop, test, and implement HL7 standards and implementation guidance.
- Use of terminology and vocabulary systems in HL7 standards and development of new or updated code systems and value sets for use in HL7 standards.
- Collaboration among the standards development community.
- Effective balloting and ballot reconciliation, development and publication of implementation guidance, and productive working group meetings.
- Mapping or translation between different HL7 standards or versions of standards (e.g. C-CDA on FHIR Implementation Guide)

Goal 3: Empower the HL7 standards development community

Recipient is expected to thoughtfully plan for and deploy processes, guidance, tools, and educational materials to support the sustained adoption of HL7 standards and build standards development and implementation capacity among HL7's standards development community. For example, the recipient may provide:

- Trainings related to development, implementation, and use of HL7 standards.
- Collaborative meetings to test HL7 standards implementations.
- Educational materials to inform the public about HL7 standards and their role in the health care system.

Recipient is encouraged to:

- Organize "implementation-a-thons," "connectathons," "hackathons," or other collaborative meetings for the HL7 community to test standards implementations, identify real-world implementation inconsistencies, and facilitate deployment of HL7 standards in health IT systems.
- Develop and maintain new or updated educational materials for health IT developers and implementers, including but not limited to FAQs, whitepapers, webinars, slide presentations, training programs, and toolkits.
- Develop any additional processes, guidance, tools, and infrastructure to support consistent implementation and widespread adoption of HL7 standards.
- Organize training events or materials to educate individuals about the development, implementation, and use of FHIR.

Years Two (2) through Five (5)

Continuation of this cooperative agreement is subject to 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 goals and tasks expected of the recipient in years 2 through 5 are similar to those in year 1. However, these goals and tasks may be modified as necessary based on new legislation/regulation, agency

priorities, or other events that require additional HL7 standards development and implementation activities.

Year 2

Goal 1: Facilitate ongoing development and publication of HL7 standards for the benefit of the general public

Recipient is expected to facilitate general standards development and implementation activities to support health IT priorities identified by HL7 stakeholders. For example, the recipient may:

- Develop profiles, templates, terminologies, implementation guidance, and other technical content specifications.
- Facilitate balloting, testing, certifying, publishing, and other activities associated with the standards development process.
- Publish new or updated content models, transport specifications, implementation guidance, profiles, and other technical documentation associated with HL7 standards.
- Provide governance for the standards development process, including but not limited to policies and procedures, technical assistance, and administrative support for working groups and the balloting process.

Recipient should work with the standards development community and ONC as applicable to identify health IT priorities for standards development and implementation activities. Health IT priorities may include but are not limited to interoperability and health information exchange for public health, research, patient-generated health data, genomics, social determinants of health, clinical decision support, and population health.

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- Develop and implement improvements to the CDA standards development process, e.g., a maturity model to accelerate the development of new CDA templates.
- Advance the maturity of the FHIR standard by supporting future releases of the FHIR standard, including support for additional normative content.

Goal 2: Enhance the underlying HL7 tools and infrastructure necessary to support effective implementation and use HL7 standards

Recipient is expected to facilitate standards development and implementation activities across the HL7 community by providing tools and other underlying infrastructure. For example, the recipient may provide:

- Tools for updating, creating, and publishing profiles and implementation guidance.
- Tools for testing the conformance of implementations to HL7 standards and implementation guidance.
- Infrastructure to enable the HL7 community and working groups to collaborate.

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Recipient should consider developing new tools, software, or platforms, or supporting ongoing development to and maintenance of existing tools, software, or platforms that enable:

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- Use of terminology and vocabulary systems in HL7 standards and development of new or updated code systems and value sets for use in HL7 standards.
- Collaboration among the standards development community.
- Effective balloting and ballot reconciliation, development and publication of implementation guidance, and productive working group meetings.
- Mapping or translation between different HL7 standards or versions of standards (e.g. C-CDA on FHIR Implementation Guide)

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- Develop and maintain new or updated educational materials for health IT developers and implementers, including but not limited to FAQs, whitepapers, webinars, slide presentations, training programs, and toolkits.
- Develop any additional processes, guidance, tools, and infrastructure to support consistent implementation and widespread adoption of HL7 standards.
- Organize training events or materials to educate individuals about the development, implementation, and use of FHIR.

Year 3

Goal 1: Facilitate ongoing development and publication of HL7 standards for the benefit of the general public

Recipient is expected to facilitate general standards development and implementation activities to support health IT priorities identified by HL7 stakeholders. For example, the recipient may:

- Develop profiles, templates, terminologies, implementation guidance, and other technical content specifications.
- Facilitate balloting, testing, certifying, publishing, and other activities associated with the standards development process.
- Publish new or updated content models, transport specifications, implementation guidance, profiles, and other technical documentation associated with HL7 standards.

- Provide governance for the standards development process, including but not limited to policies and procedures, technical assistance, and administrative support for working groups and the balloting process.

Recipient should work with the standards development community and ONC as applicable to identify health IT priorities for standards development and implementation activities. Health IT priorities may include but are not limited to interoperability and health information exchange for public health, research, patient-generated health data, genomics, social determinants of health, clinical decision support, and population health.

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- Develop and implement improvements to the CDA standards development process, e.g., a maturity model to accelerate the development of new CDA templates.
- Advance the maturity of the FHIR standard by supporting future releases of the FHIR standard, including support for additional normative content.

Goal 2: Enhance the underlying HL7 tools and infrastructure necessary to support effective implementation and use HL7 standards

Recipient is expected to facilitate standards development and implementation activities across the HL7 community by providing tools and other underlying infrastructure. For example, the recipient may provide:

- Tools for updating, creating, and publishing profiles and implementation guidance.
- Tools for testing the conformance of implementations to HL7 standards and implementation guidance.
- Infrastructure to enable the HL7 community and working groups to collaborate.

Recipient is encouraged to support the ongoing development and maintenance of existing tools, including but not limited to:

- The FHIR Implementation Guide Publisher.
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Recipient should consider developing new tools, software, or platforms, or supporting ongoing development to and maintenance of existing tools, software, or platforms that enable:

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- Use of terminology and vocabulary systems in HL7 standards and development of new or updated code systems and value sets for use in HL7 standards.
- Collaboration among the standards development community.
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- Mapping or translation between different HL7 standards or versions of standards (e.g. C-CDA on FHIR Implementation Guide)

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- Develop and maintain new or updated educational materials for health IT developers and implementers, including but not limited to FAQs, whitepapers, webinars, slide presentations, training programs, and toolkits.
- Develop any additional processes, guidance, tools, and infrastructure to support consistent implementation and widespread adoption of HL7 standards.
- Organize training events or materials to educate individuals about the development, implementation, and use of FHIR.

Year 4

Goal 1: Facilitate ongoing development and publication of HL7 standards for the benefit of the general public

Recipient is expected to facilitate general standards development and implementation activities to support health IT priorities identified by HL7 stakeholders. For example, the recipient may:

- Develop profiles, templates, terminologies, implementation guidance, and other technical content specifications.
- Facilitate balloting, testing, certifying, publishing, and other activities associated with the standards development process.
- Publish new or updated content models, transport specifications, implementation guidance, profiles, and other technical documentation associated with HL7 standards.
- Provide governance for the standards development process, including but not limited to policies and procedures, technical assistance, and administrative support for working groups and the balloting process.

Recipient should work with the standards development community and ONC as applicable to identify health IT priorities for standards development and implementation activities. Health IT priorities may include but are not limited to interoperability and health information exchange for public health, research, patient-generated health data, genomics, social determinants of health, clinical decision support, and population health.

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- Develop and implement improvements to the CDA standards development process, e.g., a maturity model to accelerate the development of new CDA templates.
- Advance the maturity of the FHIR standard by supporting future releases of the FHIR standard, including support for additional normative content.

Goal 2: Enhance the underlying HL7 tools and infrastructure necessary to support effective implementation and use HL7 standards

Recipient is expected to facilitate standards development and implementation activities across the HL7 community by providing tools and other underlying infrastructure. For example, the recipient may provide:

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- Tools for testing the conformance of implementations to HL7 standards and implementation guidance.
- Infrastructure to enable the HL7 community and working groups to collaborate.

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- The FHIR Implementation Guide Publisher.
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- The FHIR Registry.

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- Educational materials to inform the public about HL7 standards and their role in the health care system.

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- Develop and maintain new or updated educational materials for health IT developers and implementers, including but not limited to FAQs, whitepapers, webinars, slide presentations, training programs, and toolkits.
- Develop any additional processes, guidance, tools, and infrastructure to support consistent implementation and widespread adoption of HL7 standards.
- Organize training events or materials to educate individuals about the development, implementation, and use of FHIR.

Year 5

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- Advance the maturity of the FHIR standard by supporting future releases of the FHIR standard, including support for additional normative content.

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- Educational materials to inform the public about HL7 standards and their role in the health care system.

Recipient is encouraged to:

- Organize "implementation-a-thons," "connectathons," "hackathons," or other collaborative meetings for the HL7 community to test standards implementations, identify real-world implementation inconsistencies, and facilitate deployment of HL7 standards in health IT systems.
- Develop and maintain new or updated educational materials for health IT developers and implementers, including but not limited to FAQs, whitepapers, webinars, slide presentations, training programs, and toolkits.
- Develop any additional processes, guidance, tools, and infrastructure to support consistent implementation and widespread adoption of HL7 standards.
- Organize training events or materials to educate individuals about the development, implementation, and use of FHIR.

Performance Goals/Program Milestones

To ensure the success of this cooperative agreement, the applicant must propose baseline measurements or performance metrics that demonstrate the applicant's progress toward achieving the goals outlined above. For

each milestone or metric, ONC will work with the applicant to determine the appropriate targets and reporting requirements.

B. Funding Opportunity Award Information

Key Award Parameters

Title: Closing the Gap between Standards Development and Implementation-Maturing the Consolidated Clinical Document Architecture (C-CDA) and Fast Healthcare Interoperability Resources (FHIR) Standards

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

Notice of Funding Opportunity Number: NAP-AX-22-002

Catalog of Federal Domestic Assistance (CFDA) Number*:* *93.826*

Legislative Authority: Consolidated Appropriations Act, 2022, Pub. L. 117-103, Division H, Title II (Mar. 15, 2022)

Eligible Applicants: This is a non-competitive funding opportunity and is restricted to the organization designated below. Organizations not designated as such are not eligible to apply for this opportunity, and therefore should not submit an application. Applications submitted by organizations not designated below will not be considered.

Designated Organization: Health Level 7 International (HL7®)

Sole Source Justification

The primary responsibility of Health Level 7 (HL7®) is the development and maintenance of health IT technical standards, as well as any accompanying implementation specifications and guidance that provide additional implementation instructions for developers.

Through ONC rulemaking, which included a transparent decision-making process with public feedback and involvement, multiple HL7 owned standards and implementation guides (e.g. C-CDA R2.1, FHIR US Core 3.1.1, etc.) are required for health IT developers to certify their products. ONC's programmatic goals of this NOFO require the recipient to utilize the intellectual property of HL7, such as their standards and implementation guides mentioned above. HL7 is the exclusive organization with the

necessary intellectual property rights to maintain and publish these standards and implementation guides. HL7 solely owns and governs the processes by which these standards and accompanying implementation guidance are issued and updated. Another entity could not develop an HL7 standard outside of HL7's processes and publish it as an HL7 standard. This makes HL7's involvement both fundamental and necessary to publish an HL7 standard or implementation guide.

HL7 is the only organization that can provide the infrastructure and tools that are essential to the HL7 standards development process. For example, the FHIR IG publisher compiles all of the content associated with a FHIR IG and produces the IG in a format that meets HL7 requirements for publication. After an IG is balloted, the IG publisher is used to validate the content before the IG can be published. Other tools like Confluence and Jira are necessary for HL7 standards development, beginning from a project's inception through ballot. Additionally, HL7 must update their Terminology Server, which they own and can't be owned by any other entity

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Approximate Amount of Available Funding (inclusive of direct and indirect costs):

Anticipated Number of Awards: 1

Approximate Amount of Award: $1,360,000

Project Period: September 13, 2022-September 12, 2026

Budget Period(s): September 13, 2022-September 12, 2023

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.

Continued funding will be contingent on the recipient continuing to address ONC's regulatory and key goals outlined above and the availability of funds. In 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 incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Roles and Responsibilities Under a Cooperative Agreement

The funding instrument used for this project 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 activities in which ONC may assume substantial involvement include, but are not limited to:

♦Releasing funds based on achievement of performance goals/project milestones.

♦Reviewing and approving substantive provisions of proposed subawards or subcontracts.

♦ Working with the recipient to set the priorities and implementation direction that will be detailed in the Implementation Plan and all other deliverables submitted to meet the goals of the project.

♦Conduct, on an annual basis, reassessments of health IT priorities and standards development activities, and in collaboration, update the Implementation Plan and any other related activities and priorities. The Implementation Plan and any other related activities and priorities may also be reassessed and adjusted at any time if deemed necessary by ONC and/or the recipient.

♦ Participating in the selection of key personnel, as deemed necessary.

♦ Agency review, assessment, and final approval of priorities and deliverables as identified by the recipient.

♦ Engaging with leadership of the recipient's organization to ensure successful execution of the cooperative agreement.

♦Providing tactical guidance and feedback during project execution.

♦Ending an activity if performance goals/project milestones are not met.

♦Meeting with recipient(s) monthly at a minimum, and more frequently as requested by the recipient(s) or ONC.

♦ Collaborate to identify and prioritize the types and numbers of health IT priorities and standards development activities needed, as well as timelines for these activities.

♦ Provide substantive input in the development of the Connect-a-thons and other in-person or virtual testing events.

Informational Session

An Informational Session will not be conducted.

Letter of Intent

A letter of intent is not required for this award.

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 shall 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 shall be returned to ONC. **If program income is generated, the recipient shall 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	July 12, 2022
Applications Due	August 11, 2022
Anticipated Award Date	September 13, 2022
Anticipated Project Start Date	September 13, 2022

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)

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 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).

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 10-page limit. The specific sections that must be included in the Project Narrative are detailed below.

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.

The duration of this award is for a maximum of 5 years. The budget and justification must reflect the costs for the initial 12- month budget period.

The budget proposal must include:

1. An explanation of how the proposed budget supports the proposed Project and is reasonable to meet the Project's needs;
2. How proposed costs support Project activities; and
3. A description of how the proposed expenditures align with Project Plan.

Please see the Budget Detail in Appendix B for instructions for completing the SF424, and Appendices C through E for instructions for completing the SF424A, Budget Narrative, Justification, and other required forms. A non-competing continuation application is a financial assistance request (in the form of an application or performance/progress report) for a subsequent budget period within a previously approved project period for which a recipient does not have to compete with other applicants. Approval of this application will allow the recipient to continue implementing their project plan and to receive its next 12-month increment of funding. Non-competing continuation applications should be submitted no later than 90 days before the end of the current budget period (i.e., if the budget period will end on August 31, submit the non-competing continuation application by May 10). Exact due dates will be laid out in the terms and conditions that accompany each recipient's Notice of Grant Award.

Continued funding throughout the 5-year project period will be contingent on timely submission of the non-competing continuation application, strong performance during the previous budget period(s), funding availability, and the recipient's ability to continue meeting all eligibility requirements laid out in this NOFO. Due to their non-competitive nature, continuation applications will not be reviewed or scored by an Objective Review Committee. Instead, all continuation applications will be reviewed by ONC staff. Strong performance during the previous budget period(s) will be evaluated by looking at a) the recipient's ability to meet their performance metrics, b) the quality and timeliness of its report submissions, c) the recipient's compliance with the terms and conditions provided with their Notice of Award including compliance with all applicable statutory and regulatory requirements, and d) the recipient's ability to communicate with and respond in a timely manner to requests from its project officer throughout the project period.

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.

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 TBD or CFDA number *93.826.*

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 shall have a Unique Entity Identifier (UEI). A UEI can be obtained via registering at http://SAM.gov and typically takes 7 to 10 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, and use their UEI. 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 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 Notice of Funding Opportunity is 5:00 PM Eastern Standard Time on **August 11, 2022**. 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

If the applicant does not meet the following screening criteria, the application 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)
- 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 the application to ensure it meets 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 – 25 points maximum
   a. The applicant demonstrates their knowledge and understanding of the overall objectives of the NOFO.
   b. The applicant demonstrates their knowledge and understanding of each of the goals outlined in the NOFO.
   c. The applicant effectively articulates how their proposal would contribute to accomplishing each of the goals outlined in the NOFO.
   d. The applicant demonstrates an understanding of the goals of the NOFO beyond what is written in the NOFO.

2. Technical Approach – 25 points maximum
   a. The proposed approach addresses each of the goals outlined in the NOFO.
   b. The proposed approach is feasible and reasonable.
   c. The applicant's rationale for the proposed approach is well-articulated and justified.
   d. The applicant provides an appropriate level of specificity in the description of proposed activities.
   e. The proposed approach demonstrates an awareness of any risks, challenges, constraints, or barriers, and offers possible solutions.
   f. The applicant proposes a clear and actionable set of activities consistent with the goals outlined in the NOFO.

3. Personnel Qualification and Past Performance – 25 points maximum
   a. The applicant provides information about which personnel will be assigned or committed to the project.
   b. The applicant provides evidence that the personnel assigned to this project have the experience and necessary skills to carry out the activities described in the proposal.
   c. The skills and experience the applicant indicates are necessary to complete this project are reasonable and justified.

d. The skills and experience the applicant indicates are necessary to complete this project are appropriate considering the goals outlined in the NOFO.
e. The applicant demonstrates how any past work informs the applicant's ability to successfully accomplish the goals outlined in the NOFO.

4. Implementation Plan – 15 points maximum
   a. The applicant demonstrates sufficient breadth and depth of management capability for accomplishing the project.
   b. The proposed implementation plan is feasible and reasonable.
   c. The applicant's rationale for the proposed implementation plan is well-articulated and justified.
   d. The proposed implementation plan ensures timely performance and ability to accomplish the goals outlined in the NOFO within the period of performance.
   e. The proposed implementation plan demonstrates an awareness of risks, challenges, constraints, and barriers, and offers possible solutions to them.

5. Budget Plan –10 points maximum
   a. The applicant's budget narrative is well-articulated and justified.
   b. The applicant's budget narrative is feasible and reasonable.
   c. The applicant describes the role of any subrecipients and provides evidence that any subrecipients are necessary to accomplish the goals outlined in the NOFO.
   d. The amounts allocated to project management and administration in the budget narrative represent the minimum necessary for effectively accomplishing the goals outlined in the NOFO.

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 consider 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, 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 requirements (45 CFR 75.205).

For any Federal award issued under a Notice of Funding Opportunity (NOFO), if the HHS awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see §75.2 Simplified Acquisition Threshold), this section shall also inform applicants: i. That the HHS awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313); ii.

ONC is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS), www.fapiis.gov/, before making any award in excess of the simplified acquisition threshold over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency has previously entered into FAPIIS. ONC will consider any commentsby the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 45 CFR § 75.205(a)(2) Federal Awarding Agency Review of Risk Posed by Applicants.

F. Federal Award Administration Information

Award Decisions

Federal Award Notices

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, objectives, 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.

Administrative and National Policy Requirements

Awards issued under this announcement are subject to 45 CFR Part 75 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards currently in effect or implemented during the period of award, other Department regulations andpolicies in effect at the time of award, and applicable statutory provisions. The Code of Federal Regulations (CFR) is available at www.ecfr.gov.

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

HHS Grants Policy Statement

The HHS Grants Policy Statement (HHS GPS) is the Department of Health and Human Services' single policy guide for discretionary grants and cooperative agreements. ONC grant awards are subject to the requirements of the HHS GPS, which covers basic grants processes, standard terms and conditions, and points of contact, as well as important agency-specific requirements. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary that are specified in the Notice of Award (NOA). The HHS GPS is available at https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

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

Non-Discrimination Legal Requirements for Recipients of Federal Financial Assistance

Per Executive Order (E.O.) 13985 entitled Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (Jan. 20, 2021), Should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS shall administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex (including gender identity, sexual orientation, and pregnancy). This includes ensuring programs are accessible to persons with limited English proficiency and persons with disabilities. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/forproviders/provider-obligations/index.html and https://www.hhs.gov/civil-rights/forindividuals/nondiscrimination/index.html.

- Recipients of FFA shall ensure that their programs are accessible to persons with limited English proficiency. For guidance on meeting your legal obligation to take reasonable steps to ensure meaningful access to your programs or activities by limited English proficient individuals. See https://www.hhs.gov/civil-rights/forindividuals/special -topics/limited-english-proficiency/fact-sheet-guidance/index.htmland https://www.lep.gov.

- For information on your specific legal obligations for serving qualified individuals with disabilities, including reasonable modifications and making services accessible to them, see http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html.

- HHS funded health and education programs shall be administered in an environment free of sexual harassment, see https://www.hhs.gov/civil-rights/for individuals/sexdiscrimination/index.html.

- For guidance on administering your program in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see https://www.hhs.gov/conscience/conscience-protections/index.html and https://www.hhs.gov/conscience/religiousfreedom/index.html.

Performance Reporting

ONC Program Progress Reports (PPR) are due quarterly. 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, format, and deadlines for submitting the PPRs before each report is due.

Each report will be due throughout the fiscal year as follows:

Reporting Period	**Reporting Due Date**
October 1 through December 31	No later than January 31
January 1 through March 31	No later than April 30
April 1 through June 30	No later than July 31
July 1 through September 30	No later than October 31

Financial Reporting

Expenditures shall 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 (PMS). ONC will not accept reports sent directly to the ONC Grants mailbox.

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 mandatory disclosure requirements. Recipients that have Federal contracts, grants, and cooperative agreement awards from all Federal awarding agencies with a cumulative total value greater than $10,000,000 shall maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently FAPIIS), any information about criminal, civil, and administrative

proceedings that reached its final disposition during 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. Reporting shall specifically include the following:

Proceedings About Which You Shall Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

b. Reached its final disposition during the most recent five year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

Reporting Procedures
Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

Reporting Frequency
During any period of time when you are subject to this requirement in paragraph 1 of this award term and condition, you shall report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a

cumulative total value greater than $10,000,000 shall disclose semiannually any information about the criminal, civil, and administrative proceedings.

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes -

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised

This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

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 task.
- 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 45 CFR 75.112 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for All Federal Awards, all applicants and non-federal entities shall 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, a 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 45 CFR 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 shall 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 45 CFR 75.2 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 45 CFR §75.2 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity shall use that property for the originally authorized purpose, and shall 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 shall occur in accordance with the provisions in 45 CFR §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 shall request, and the non-Federal entity shall 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 shall 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 § 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 shall 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 75.335 for record retention and access requirements for contracts under grants/cooperative agreements.

Modifications

Modifications and/or amendments to the cooperative agreement shall 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 shall 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 Part 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 shall 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 Part 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. Please review all HHS regulatory provisions for Termination at 45 CFR § 75.372.

Steven's Amendment

Statutory Requirement:
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 E-Mail Address
Comments and inquiries can be directed to the e-mail address: oncotech-programs@hhs.gov with the specific subject line: "Accelerating the Development and Implementation of Health Care Standards Supporting Interoperability"

DUN and Bradstreet
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 1800-447-8477) 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.

Tips for Writing a Strong Application

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.

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
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:
8a.	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.
8b.	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.
8c.	Unique Entity Identifier:	(Required) Enter the organization's UEI received from SAM.gov, upon registering. Information on obtaining a UEI may be obtained by visiting https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update
8d.	Address:	Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9digit zip/postal code (Required if country US).
8e	Organizational Unit:	Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
8f.	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.

Item	Field Name	Information
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) 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.

Item	Field Name	Information
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., CA005 for California 5th district, CA-012 for California 12 district, NC103 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.

Item	Field Name	Information
18.	Estimated Funding:	(As applicable) 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. Applicants should review matching principles contained in 45 CFR 75.306 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. 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 subcontractors 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. 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.
19.	Is Application Subject to Review by State Under Executive Order 12372 Process?	(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.
20.	Is the Applicant Delinquent on any Federal Debt?	(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.

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 recipients 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 nonfederal 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, subcontractor 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.

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 subrecipients. 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.

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 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.

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 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.

Appendix D

Budget Narrative/Justification Template (with SAMPLE information)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel Salary	$40,000	$5,000		$45,000	♦Project Administrator Jane Doe = .3FTE @ $50,000/year = $15,000 $10,000 = Federal funds and $5,000 = non-federal cash ♦Project Director John Smith = 1FTE @ $30,000/year = $30,000 Federal funds **TOTAL: $45,000**
Fringe Benefits	$12,600	0	0	$12,600	Fringes benefit rate is 28% of salary as follows. All Federal Funds FICA (7.65%)= $3,442 Health Insurance (12%) = $5,400 Dental Insurance (5%) = $2,250 Life Insurance (2%) = $900 Workers Comp Insurance (.75%) = $338 Unemployment Insurance (.6%) = $270 **TOTAL: $12,600** ($45,000 * 28%)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	$4,120	$1,547		$5,667	♦Travel to two annual recipient meetings: All Federal funds. Airfare: 2 people x 2 trips $750/per round trip = $3,000 Lodging: 2 nights per trip x 2 people x $100/night x 2 trips = $800 Per Diem: 2 days per trip x 2 people x $40/day x 2 trips = $320 **Subtotal: $4,120** ♦Out-of-town site visits. Non-federal cash. Car mileage: 3 trips x 2 people x 350 miles/trip x $.365/mile = $767 Lodging: 3 trips x 2 people x 1 night/trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480 **Subtotal: $1,547** **TOTAL: $5,667**
Equipment	0	0	0	0	No equipment requested
Supplies	$1,340	$2,160		$3,500	♦Laptop computer for use in client intakes – Federal Funds = $1,340 ♦Consumable supplies (paper, pens, etc.) – Non-federal cash $100/mo x 12 months = $1,200 ♦Copying – Non-federal cash $80/mo x 12 months = $960 **TOTAL: $3,500**

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Contractual	$150,000		$50,000	$200,000	Contracts to A,B,C Contractor A to deliver supplies – Federal funds = $75,000 Contractor B to print materials – Federal funds= $75,000 Contractor C for logistical support– Non-Federal = $50,000 **TOTAL: $200,000**
Other	$11,250	$2,000		$13,250	♦Subaward to ABC to conduct training – Federal funds = $10,000 ♦Printing brochures – Federal funds (25,000 @ $0.05 each) = $1,250 ♦Registration fee for annual ABC conference – Non-federal cash = $200 ♦Postage – Non-Federal Cash ($150/mo x 12 months) = $1,800 **TOTAL $3,250**
Indirect Costs	$12,000	$1,000	$1,000	$14,000	♦Rent – Federal funds ($1,000/mos. x 12 months) = $12,000 ♦Utilities – Non-federal cash = $1,000 ♦Administrative Support – Non-Federal In-Kind 100 hours x $10/hour = $1,000 **TOTAL $14,000**
TOTALS	**$231,310**	**$11,707**	**$51,000**	**$294,017**	

Appendix E

Letter of Commitment Template

Wanda Govan-Jenkins
Office of the National Coordinator for Health Information Technology
Department of Health and Human Services 330 C. Street, 7th Floor,
Office, S.W.
Washington, DC 20201

Date

Dear Dr. Govan-Jenkins,

[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).

(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