**U.S. Department of Health and Human Services**
**Centers for Medicare & Medicaid Services**
**Office of Minority Health**

# Minority Research Grant Program

**Notice of Funding Opportunity Type:** New

**Funding Opportunity Type:** Grant

**Notice of Funding Opportunity Number:** CMS-1W1-20-001

**Competition ID:** CMS-1W1-20-001-065390

**CFDA:** 93.779

**Notice of Funding Opportunity Posting Date:** 02/21/2020

**Applicable Dates:**

| | |
|---|---|
| Letter of Intent to Apply Due Date: | Optional |
| Electronic Application Due Date: | 06/16/2020<br>3:00 PM Eastern U.S. Time |
| Anticipated Issuance Notice(s) of Award: | 9/11/2020 |
| Anticipated Period of Performance: | 9/30/2020 |
| | 9/29/2022 |

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## Executive Summary

The Minority Research Grant Program (MRGP), as authorized under Section 1110 of the Social Security Act, provides two grant opportunities to support health equity research conducted at 1) Historically Black Colleges and Universities (HBCUs), 2) Hispanic Serving Institutions (HSIs), 3) Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), or 4) Tribal Colleges and Universities (TCUs). Through this funding opportunity, the Minority Research Grant Program will make two awards to one or more eligible institutions (HBCU, TCU, HSI, or AANAPISI). A single institution may submit more than one application for consideration.

| Item | Description |
|---|---|
| HHS Awarding Agency | Centers for Medicare & Medicaid Services (CMS) |
| CMS Awarding Center | Office of Minority Health |
| Notice of Funding Opportunity Title | Minority Research Grant Program |
| Authorization | Section 1110 of the Social Security Act |
| Funding Opportunity Type | New |
| Funding Opportunity Number | TBD |
| Type of Award | Grant |
| Catalog of Federal Domestic Assistance | 93.779 |
| Letter of Intent to Apply Due Date (if applicable) | 05/01/2020<br>Optional |
| Application Due Date & Time | 06/02/2020<br>3:00 PM Eastern U.S. Time |
| Anticipated Issuance Notice(s) of Award | 9/11/2020 |
| Anticipated Period of Performance | 9/30/2020<br>9/29/2022 |
| Anticipated Total Available Funding | $500,000 |
| Estimated Number of Awards | 2 |

## A. Program Description

### A1. Purpose

The Centers for Medicare & Medicaid Services (CMS) Office of Minority Health (OMH) is announcing the availability of funds under the Minority Research Grant Program to test promising solutions that achieve health equity. The goal of this NOFO is to stimulate interest in the characterization and inferential analysis of determining factors associated with health disparities and to provide funding in this area. The Grant Program supports research on the discovery and characterization of health processes, practices, behaviors, and burdens or issues that influence health equity and, in particular, research that address the social determinants of health. The Grant Program is an opportunity to support researchers at 1) Historically Black Colleges and Universities (HBCUs), 2) Hispanic Serving Institutions (HSIs), 3) Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), or 4) Tribal Colleges and Universities (TCUs).

### A2. Authority

This Grant Program is under the authority of Section 1110 of the Social Security Act and is consistent with four executive orders:

- Executive Order 13779: White House Initiative to Promote Excellence and Innovation at Historically Black Colleges and Universities
- Executive Order 13555 : White House Initiative on Educational Excellence for Hispanics
- Executive Order 13592: White House Initiative on Improving American Indian and Alaska Native Educational Opportunities and Strengthening Tribal Colleges and Universities
- Executive Order 13515: White House Initiative on Asian American and Pacific Islanders in Federal Programs

More information about these Executive Orders may be found via each of the links above.

### A3. Background

While the United States has made progress toward improving healthcare quality, well-documented inequities persist among racial and ethnic minorities, people with disabilities, sexual and gender minorities, and rural populations. Evidence shows that these populations experience a higher disease burden, worse quality of care, and barriers in accessing care. For example, chronic disease morbidity and mortality pose increasingly high costs for the U.S. healthcare system underscoring the need for concerted efforts to improve chronic disease prevention, early detection, and management among priority populations.

CMS seeks to achieve health equity by improving quality and making care more person-centered, affordable, and accessible. Through the Minority Research Grant Program, CMS will support research aimed at achieving health equity and improving healthcare quality leading to more fair and just practices.

Key CMS programs include Medicare Part A (hospital coverage), Part B (medical services), Part C (Medicare Advantage), and Part D (prescription drug coverage), Medicaid and CHIP, private health insurance offered through federal and state Marketplaces, and innovative models and

demonstrations that test payment and delivery reforms. Within each of these programs, there are opportunities to explore issues related to health equity including through CMS Quality Improvement Programs, the Quality Payment Program, Conditions of Participation, formulary and benefit design, reimbursement, risk adjustment, network adequacy, demonstrations and models related to bundled payment, risk-sharing, and value-based payment, instrument design, and cognitive testing of questions in standardized patient assessments. Specific examples of CMS programs and policies addressing health equity include:

- Hospice Outcomes & Patient Evaluation (HOPE) instrument: https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/Hospice-Quality-Reporting/HOPE
- Accountable Health Communities Model: https://innovation.cms.gov/initiatives/ahcm/
- Medicaid Innovation Accelerator Program areas related to coordinating care for individuals with complex health needs, community linkages for long-term services and supports, and integration of care across settings: https://www.medicaid.gov/state-resource-center/innovation-accelerator-program/program-areas/index.html
- Recent changes to Medicare Advantage coverage of telehealth and supplemental benefits: https://www.cms.gov/newsroom/press-releases/cms-finalizes-policies-bring-innovative-telehealth-benefit-medicare-advantage

The MRGP grant shall foster the capacity of principal investigators to advance the understanding of health equity in CMS programs, which enhances the capacity of CMS and other stakeholders to develop solutions and embed health equity across programs and policies. Researchers are expected to collaborate with local minority communities, rural populations, and/or health systems (e.g. hospitals, health plans, community centers, etc.) in the design, implementation, and evaluation of research projects on issues related to health equity, including social determinants of health in particular. CMS is committed to developing partnerships with minority-serving institution researchers to achieve the goals of the listed Executive Orders described above.

**A4. Program Requirements**

The CMS Office of Minority Health administers the Minority Research Grant Program (MRGP). The purpose of the grant program is to support researchers at minority serving institutions that are exploring how CMS can better meet the health care needs of racial and ethnic minorities, people with disabilities, sexual and gender minorities, and rural populations. The three goals of MRGP are to:

1. Develop capacity at minority serving institutions to research health disparities and social determinants of health;
2. Understand the root cause of issues – processes, practices, behaviors, and burdens – that lead to health disparities and identify replicable interventions; and
3. Strengthen CMS programs by disseminating best practices uncovered through funded research.

**A5. Technical Assistance and Information for Prospective Applicants**

This NOFO encourages research projects that will develop and test new methodologies and new research technologies focused on specific topics addressing social determinants of health. The availability of beneficiary data through the Medicare Current Beneficiary Survey (MCBS) Public Use Files as well as Mapping Medicare Disparities (MDD) Tool, make it feasible to study factors that contribute to disparities in health outcomes among different racial/ethnic populations.

Research projects using CMS beneficiary data by racial/ethnic populations (e.g. American Indian/Alaska Native, Asian, African American, Caucasians, Native Hawaiian/Pacific Islander, and Hispanic/Latino populations) are encouraged, but not mandated.

Projects that are strictly hypothesis-generating, exploratory and correlative studies are discouraged. As this NOFO is focused upon research, immediate systemically translational potential of the proposed project is NOT a requirement for the proposed projects.

**Research topics of interest include but are not limited to:**

- Causal drivers of early onset ESRD in specific populations (e.g. chronic kidney disease in Native American populations)
- Inferential analysis and modeling for predicting aggressive prostate cancer in African American men
- Patterns, behavior, and trends of community network utilization and care coordination among sexual and gender minorities (e.g. medication adherence among transgender and gender non-binary individuals dealing with insecure housing)
- Public health interventions designed to meet the needs of people with disabilities (e.g. exercise, life coaches, etc.)
- Effect of obesity or obesity-associated health outcomes on populations in rural communities
- Role of decision making in medically scarce situations for vulnerable patients
- Drivers of behavioral, social, environmental, or community/population-based studies that create health instability among racial/ethnic populations

**Research topics that are not appropriate for this NOFO:**

- Genome-Wide Association Studies (GWAS);
- Studies investigating biological mechanisms such as metabolic changes/chronic metabolic diseases on the microenvironment (including immune cells, surrounding blood vessels, soluble factors) in racial/ethnic minorities; and
- Studies that do not propose health disparity research.

## B. Federal Award Information

**B1. Total Funding**

The total amount of federal funds available is $500,000.

**B2. Annual Award Amount**

The annual award amount shall not exceed $125,000 per award.

**B3. Anticipated Award Date**

The anticipated award date is September 11, 2020

**B4. Period of Performance**

The anticipated Period of Performance is 9/30/2020 –

9/29/2022. The anticipated year one budget period is

9/30/2020 – 9/29/2021. The anticipated year two budget

period is 9/30/2021 – 9/29/2022.

Please refer to the Executive Summary for periods of performance and budget.

**B5. Number of Awards**

Two awards to eligible institutions (HBCU, TCU, HSI, or AANAPISI).

**B6. Type of Award**

All awards will be Grants.

**B7. Type of Competition**

Competitive Grant

## C. Eligibility Information

**C1. Eligible Applicants (select all that apply)**

The following applicants are eligible to apply for the Minority Research Grant:

☐ City or township governments
☐ County governments
☐ Faith-based organizations
☐ For profit organizations other than small businesses
☐ Foreign and international organizations
☐ Independent school districts
☐ Individuals

☐ Native American tribal organizations (other than Federally recognized tribal governments)
☐ Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education
☒ Private institutions of higher education
☒ Public and State controlled institutions of higher education
☐ Public housing authorities/Indian housing authorities
☐ Small businesses
☐ Special district governments
☐ State governments
☐ Unrestricted
☐ Other

**C2. Cost Sharing or Matching**

CMS's grant authority under the Section 1110 of the Social Security Act requires cost-sharing by applicants. To comply with this requirement, CMS is requiring that applicants provide cost-sharing equal to at least one percent (1%) of the amount of the award. This cost-sharing requirement may be satisfied through in-kind contributions. Applications that do not include cost sharing shall not be considered for further review.

**C3. Letter of Intent**

☐ Mandatory
☒ Optional
☐ N/A

Applicants are highly encouraged, though not required, to submit an electronic, non-binding Letter of Intent (LOI) by 05/01/2020 Information from the LOI will assist CMS with planning for the application review process.

Prospective applicants are asked to submit a LOI that includes the following information:

- Descriptive title of proposed research activity
- Name(s), address(es), and telephone number(s) of the PI(s)
- Names of other key personnel
- Participating institution(s)
- Number and title of this funding opportunity announcement

Letter of Intent should be sent to:

Centers for Medicare & Medicaid Services
Office of Minority Health
E-mail: HealthEquityTA@cms.hhs.gov

**C4. Ineligibility Criteria**

N/A

**C5. Single Application Requirement**

N/A

**C6. Continued Eligibility**

Award recipients must meet reporting and certification deadlines to be eligible throughout the initial 12- month budget period and to remain eligible for a non-competing continuation award for subsequent budget periods in multi-year projects. In addition, grantees would need to demonstrate strong performance during the previous funding cycle(s) before additional year funding is awarded; or, in the case of awards where all funding is issued in the first year, to ensure continued access to funding. At any time in the award cycle, grantees could receive decreased funding or their grant could be terminated if grantees fail to perform the requirements of the award.

**C7. EIN, DUNS, and SAM Regulations**

In order to apply, all applicants are required to have a valid Employer Identification Number (EIN), otherwise known as a Taxpayer Identification Number (TIN); a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number; and be registered in the System for Award Management (SAM) database (https://www.sam.gov/SAM/) to be able to submit an application at Grants.gov. See Appendix B for descriptions of EIN, DUNS, and SAM.

**C8. Foreign and International Organizations**

Foreign and International Organizations are not eligible to apply.

**C9. Faith-Based Organizations**

Faith-Based Organizations are not eligible to apply.

**C10. Other Eligibility Requirements**

To be eligible, applicants must meet all of the following criteria:

1. Be a researcher at an AANAPISI, HBCU, HSI, or TCUs; **and**

2. Propose research focused on reducing health disparities, including methods to address the social determinants of health.

## D. Application and Submission Information

**D1. Address to Request Application Package (select one)**

Competitive Process

Application materials will be available at http://www.grants.gov. Please note that HHS/CMS requires applications for all announcements to be submitted electronically through the Grants.gov website. Applicants will be able to download a copy of the application packet, complete it offline, and then upload and submit the application via the Grants.gov website. Refer to Appendix B for additional details.

**D2. Content and Form of Application Submission**

**a. Application format**

Applications determined to be ineligible, incomplete, and/or nonresponsive based on the initial screening may be eliminated from further review. However, in accordance with HHS Grants Policy, the CMS Office of Acquisition and Grants Management (OAGM), Grants Management Officer in his/her sole discretion, may continue the review process for an ineligible application if it is in the best interests of the government to meet the objectives of the program.

Each application must include all contents of the application package, in the order indicated, and conform to the following formatting specifications:

- The following page size must be used: 8.5" x 11" letter-size pages (one side only) with 1" margins (top, bottom, and sides). Other paper sizes will not be accepted. This is particularly important because it is often not possible to reproduce copies in a size other than 8.5" x 11".
- All pages of the project and budget narratives must be paginated in a single sequence.
- Font size must be at least 12-point with an average character density no greater than 14 characters per inch (CPI).
- The Project Narrative must be double-spaced with the exception of charts and tables. The page limit for this document is 25 pages.
- The Budget Narrative may be single-spaced. The page limit for this document is 10 pages.
- The Business Assessment of Applicant Organization may be single-spaced. The page limit for this document is 10 pages.
- Tables included within any portion of the application must have a font size of at least 12- point with a 14 CPI and may be single-spaced. Tables are counted towards the applicable page limits.
- The project abstract is restricted to a one-page summary which may be single-spaced.

**b. Standard forms**

The following required application documents are excluded from the page limitations described above: Standard Forms, Application Cover Letter/Cover Page, Project Site Location Form and Indirect Cost Rate Agreement.

- The following standard forms must be completed with an electronic signature of the Authorized Organizational Representative (AOR) and enclosed as part of the application. Project Abstract Summary

  A one-page abstract (single-spaced) shall serve as a succinct description of the proposed project and must include the goals of the project, the total budget, and a description of how the funds will be used. The abstract is often distributed to provide information to the public and Congress, so please write the abstract so that it is clear, accurate, concise,

and without reference to other parts of the application. Personal identifying information should be excluded from the abstract. In the Grants Application Package that can be found at www.grants.gov (or alternatively www.GrantSolutions.gov for single-source applications), select the Project Abstract Summary and complete the form.

- SF-424: Official Application for Federal Assistance

  **Note:** On SF 424 "Application for Federal Assistance":

  - On Item 15 "Descriptive Title of Applicant's Project", state the specific grant opportunity for which you are applying.
  - Check "No" to item 19c, as Review by State Executive Order 12372 does not applyto this grant funding opportunity.
    Click here to enter text.
  - SF-424A: Budget Information Non-Construction
  - SF-424B: Assurances-Non-Construction Programs
  - SF-LLL: Disclosure of Lobbying Activities

  ***All applicants must submit this form.*** If your entity does not engage in lobbying, please insert "Non-Applicable" on the document and include the required Authorized
  Organizational Representative (AOR) name, contact information, and signature. Please note that the application kit available online on the Grants.gov website is utilized for many programs and therefore Grants.gov may designate this form as optional to allow for flexibility amongst programs. **This form is required as part of your application package and must be submitted for your application to be considered eligible for review.**

- Project Site Location Form(s)

  ***All applicants must submit this form***. Please note that the application kit available online in Grants.gov is utilized for many programs and therefore Grants.gov may designate this form as optional to allow for flexibility amongst programs. **This form is required as part of your application package and must be submitted for your application to be considered eligible for review.**

**c. Application cover letter or cover page**

An application cover letter or cover page is required.

**d. Project narrative**

The applicant must provide a Project Narrative that articulates in detail the proposed goals, measurable objectives, and milestones to be completed in accordance with the instructions and content requirements provided below and the specific criteria described in E1. Criteria. Please include the title "Project Narrative" at the beginning of the Project Narrative.

The 25-page project narrative shall provide a concise and complete description of the proposed project. It shall contain the information necessary for the review panelists to fully

understand the project and cover all aspects of the project. This will include investigator's ability to implement the research project. The six points outlined below briefly describe the Project Narrative requirements. Please see Section E. Application Review Information, E1. Criteria for more detailed information on formatting and content requirements that shall be followed when submitting the Project Narrative.

1. Overall Impact
2. Significance
3. Approach
4. Innovation
5. Investigator(s)
6. Environment

Required Appendices

- Key Staff Qualifications - Include resumes of key staff members describing their qualifications. Resumes and/or biographical sketches should be a maximum of 5 pages each. For more information on creating a biographical sketch please see: https://grants.nih.gov/grants/forms/biosketch.htm
- Project Work plan/Timeline - Include a detailed project work plan and timeline.
- Letters of Agreement, Endorsement, or Support – An endorsement from the President or another official (e.g. Office of Sponsored Research designee, Department Chair, etc.) from your institution is required. Also required are endorsements from collaborating organizations acknowledging their support and responsibilities relative to the project and commitments that have been pledged for the proposed project. Include individual letters of support, as appropriate.
- Memoranda of Understanding – Include documentation reflecting the collaborative relationships between relevant institutions.
- Institutional Review Board (IRB) Approval Plan – Describe plans to apply for IRB approval. Funding shall be contingent on obtaining IRB approval post-award.

Additional Supporting Documentation (10 page limit)

- Additional supporting documentation may be submitted; however, such materials shall be limited to information relevant to the specific scope and purpose of the proposed project.

**e. Budget narrative**

Applicants must supplement Form SF-424A with a Budget Narrative. The Budget Narrative must include a yearly breakdown of costs according to a 12-month period. See Section B. *Federal Award Information* for more information on the performance period. Applicants

must include a clear description of the proposed set of services that will be covered with grant funds. The Budget Narrative should provide a detailed cost breakdown for each line item outlined in the SF- 424A by grant year, including a breakdown of costs for each activity/cost within the line item.
The proportion of the requested funding designated for each activity should be clearly defined and should justify the applicant's readiness to receive funding. The budget must separate out funding that is administered directly by the lead agency from funding that will be subcontracted to other partners.

For more specific information and instructions for completing the SF-424A and Budget Narrative, please refer to Appendix A. Guidance for Preparing a Budget Request and Narrative. This Appendix provides detailed instructions and examples of how the information in the budget narrative should be presented. Detailed explanations must be provided for each activity as well as full computations. Funding to support activities that do not include sufficient justification (to include full descriptions and computations) may be omitted from the final budget approved.

The following budget categories must be addressed (as applicable):

- Personnel
    - NOTE: Consistent with Section 202 of the ''Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019, none of the funds appropriated in this law shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.
- Fringe benefits
- Contractual costs, including subcontracts
- Equipment
- Supplies
- Travel
- Indirect charges
    - In compliance with appropriate 45 CFR 75, if requesting indirect costs in the budget, a copy of the approved indirect cost rate is required.
- Other costs, including those not otherwise associated with training and education.

Personnel and personnel contract costs must include detailed salary and fringe benefit costs clearly delineated for review. The Budget Narrative shall outline the strategies and activities of the program, and provide cost breakdowns for any subcontracts that will be implemented to achieve anticipated outcomes.

Describe any special situations such as mandatory costs.

The annual award amount shall not exceed $125,000 per award.

**f. Business assessment of applicant organization (maximum 10 pages)**
As required by 45 CFR §75.205 for competitive grants and cooperative agreements, CMS will evaluate the risk posed by an applicant before they receive an award. This analysis of risk includes items such as financial stability, quality of management systems, and the ability to meet the management standards prescribed in 45 CFR Part 75.

**An applicant must review, answer, and submit the business assessment questions outlined in Appendix D.** There are ten (10) topic areas labeled A-J, with a varying number of questions within each topic area. Applicants MUST provide an answer to each question. Moreover, applicants should refrain from solely answering yes or no to each question – i.e., a brief, substantive answer should be given for almost all questions. If the answer to any question is non-applicable, please provide an explanation. Please note, if CMS cannot complete its review without contacting an applicant for additional clarification, the applicant may not be selected for award.

**D3. Unique Entity Identifier and System for Award Management (SAM)**

Unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)), each applicant is required to:

i. Be registered in SAM before submitting its application;
ii. Provide a valid unique entity identifier in its application; and
iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

CMS may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

**D4. Submission Dates and Times**

All applications must be submitted electronically and be received through http://grants.gov by the date and time set forth below.

Application Due Date

6/02/2020 3:00 PM Eastern

U.S. Time

Late applications: Any application that is received after the due date and time shall be deemed a "late application" and shall not be reviewed.

**D5. Intergovernmental Review**

Applications for these awards 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 these grants.

**D6. Cost Restrictions**

*Direct Costs*

Grant funds may be used for any of the following:

- Personnel costs, which may include project support staff.
- Costs of data collection and transmission.
- Travel costs as they pertain to the administration and conduct of the grant.
- Training cost for program participants.
- Indirect costs which do not exceed 8% of the modified total direct costs exclusive of tuition and related fees, direct expenditures for equipment, and sub grants and contracts under the grant in excess of $25,000.
- Contracts as applicable
- All travel, conference, and meeting expenses must be consistent with HHS guidelines, and may require additional CMS prior approval.

*Indirect Costs*

Indirect costs on training grants are limited to a fixed rate of 8 percent of modified total direct cost (MTDC) exclusive of tuition and related fees, direct expenditures for equipment, and subawards and contracts under the grant in excess of $25,000.

*Prohibited Uses of Award Funds*

No funds under this award may be used for any of the activities/costs outlined below unless an exception is specifically authorized by statute.

- To match any other Federal funds.
- To provide services, equipment, or supports that are the legal responsibility of another party under Federal, State, or Tribal law (e.g., vocational rehabilitation or education services) or under any civil rights laws. Such legal responsibilities include, but are not limited to, modifications of a workplace or other reasonable accommodations that are a specific obligation of the employer or other party.
- To provide goods or services not allocable to the approved project.

- To supplant existing State, local, Tribal or private funding of infrastructure or services, such as staff salaries, etc.
- To fund staff retreats or promotional giveaways.
- To be used by local entities to satisfy state matching requirements.
- To pay for construction.
- To pay for capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life as a direct cost, except with the prior written approval of the Federal awarding agency.
- To pay for the cost of independent research and development, including their proportionate share of indirect costs (unallowable in accordance with 45 CFR 75.476).
- To use as profit to any award recipient even if the award recipient is a commercial organization, (unallowable in accordance with 45 CFR 75.216(b)), except for grants awarded under the Small Business Innovative Research (SBIR) and Small Business Technology Transfer Research (STTR) programs (15 U.S.C. 638). Profit is any amount in excess of allowable direct and indirect costs.
- To expend funds related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any state government, state legislature or local legislature or legislative body

*Reimbursement of Pre-Award Costs*

☐ Yes

☒ No

**D7. Mandatory Disclosure**

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the HHS 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 45 C.F.R. §75.371, including suspension or debarment. (*See* also 2 C.F.R. parts 180 and 376, and 31 U.S.C. 3321).

Disclosures must be made at the time of application, if known, and thereafter, as soon as this information is known. Submission is required for all applicants, in writing, to the awarding agency and to the HHS.

Disclosures must be sent in writing to:

U.S. Department of Health and Human Services
Centers for Medicare and Medicaid Services
Office of Acquisition and Grants Management
Attn: Director, Division of Grants Management
7500 Security Blvd, Mail Stop B3-30-03
Baltimore, MD 21244-1850
**AND**
U.S. Department of Health and Human Services

Office of Inspector General
ATTN: Mandatory Grant Disclosures, Intake Coordinator
330 Independence Avenue, SW, Cohen Building
Room 5527
Washington, DC 20201
URL: https://oig.hhs.gov/fraud/report-fraud/index.asp
(Include "Mandatory Grant Disclosures" in subject line)
Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or

Email: MandatoryGranteeDisclosures@oig.hhs.gov

Materials should also be scanned and emailed to the Grants Management Specialist assigned to this FOA.

**D8. Other Submission Requirements (if applicable)**

N/A

## E. Application Review Information (please refer to Appendix E for specific information about the Review and Selection process)

**E1. Criteria**

Applicants must submit applications in the required format no later than the deadline date. If an applicant does not submit all of the required documents and does not address any of the topics described in A5 (Technical Assistance and Information for Prospective Applicants) with cross reference to E1. Criteria, the applicant risks not being eligible and/or awarded. CMS shall use the following evaluation criteria to evaluate all applications for inclusion in the program.
The total score for the application review criteria is 100 points.

The panel reviewer shall score the application based on the following:

1. **Overall Impact**

   Considering all other application components in total, reviewers will provide an overall impact score assessment of the potential of the project to contribute to advancements in health equity in CMS programs.

   Panel score: 15 Maximum Points

2. **Significance**

   The applicant should address the following questions:

   - Does the project address an important health equity related problem(s)?
   - Is there a strong scientific basis for project? Does the project propose to address a health equity issue identified as a priority for the CMS?
   - What are the project goals? Do the goals integrate diversity and inclusion efforts with population health, patient care, quality, and safety?

- How will achieving the project's aims improve knowledge, technical capability, workforce pipeline, or enhance quality, access, or outcomes for CMS' priority populations?

Panel score: 25 Maximum Points

**3. Approach**

The applicant should address the following questions:

- What are the key research questions and aims, and how do the proposed methodologies and analysis address them?
- How will the investigators ensure a robust and unbiased approach?
- What is the target population and setting, including the size of the target population, the proportion that is expected to be reached by the study, and rationale for this figure
- What is the data collection and analysis plan?
- How will investigators measure success, i.e., benchmarks, outcome measures, reduction in disparities?
- What challenges does the applicant anticipate and what potential mitigation strategies might the applicant pursue?
- How will the investigator protect human subjects from research risks, particularly vulnerable populations, and what are the applicant's plans to obtain IRB approval?

Applicants should include a detailed project work plan and timeline as an appendix.
Panel score: 25 maximum points.

**4. Innovation**

The applicant should address the following question:

- Does the proposed project seek to refine, improve, or create new theoretical concepts, approaches, methodologies, instrumentation, or interventions relevant to CMS?
- How will the proposed project challenge or enhance current research on health equity?

Panel score: 15 Maximum Points

**5. Investigator(s)**

The applicant should address the following questions:

- Does the PI's background support a heightened level of success on the proposed project?
- What are staff members' capabilities and how is their training, experience, and/or ongoing record of accomplishment well suited to the project?
- How will staff be organized, and what will be their responsibilities and roles?
- If the project has multiple principal investigators, how will these investigators integrate their expertise and approach joint leadership of the project?

Applicants should include a work plan. In addition, resumes or biographical sketches of key staff members describing their qualifications as an appendix. Resumes/biosketches should be a maximum of 5 pages each, however, resumes are not included in total page count.

Panel scoring: 10 Maximum Points

**6. Environment**

The applicant should address the following questions:

- How will the applicant's institutional infrastructure, organizational resources, and management capacity enable project success? Applicants should describe the availability and adequacy of the facilities, equipment, and financial management systems needed to conduct the project.
- Are there unique aspects of the applicant's institution that will enable project success, particularly in relation to studying health equity and engaging racial and ethnic minorities, people with disabilities, sexual and gender minorities, and/or rural populations?
- What is the applicant's plan for budget and performance monitoring (e.g., how does the PI plan to monitor the proposed budget and progress of the proposed research?)?
- What are the collaborative relationships supporting the proposed research project that have been established or that may be established between the applicant and other organizations? Are roles and responsibilities well defined?

The proposed budget and budget narrative shall be carefully developed and reflect efficient and reasonable use of funds. Overhead and administrative costs shall be reasonable, with funding focused on operations rather than administration. The proposed budget request shall reflect a promising investment given the expected impact of the health services research activities.

The evaluation shall consider whether the applicant possesses the organizational infrastructure and management capacity to conduct the research project, as well as a comprehensive budget reflecting all costs of staffing for implementing the health services research activities.

Applicants are encouraged to pursue collaborations with other organizations, which may include:

- Other HBCUs, HSIs, AANAPISIs, and TCUs;
- Federally Quality Health Centers
- Critical Access/Safety-net Hospitals
- Hospitals
- Health Systems
- Health Plans
- Community-Based Health Organizations;
- Professional Organizations;
- Faith-Based Organizations;
- Social Organizations;

- State/Territorial Offices of Minority Health.
- Indian Health Services
- Network of Quality Improvement and Innovation Contractors

Panel scoring: 10 Maximum Points

Letters of support from collaborating organizations outlining their contributions, roles, and responsibilities relative to the research project should be included in the appendix.

E2. Review and Selection Process (select one)

☒ Anticipated Federal Review

☐ Anticipated Mix of Federal and Non-Federal Review

**E3. Federal Awardee Performance Integrity Information System (FAPIIS)**

i. CMS, 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. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that the HHS awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

CMS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, 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 Applicant as described in §75.205.

## F. Federal Award Administration Information

**F1. Federal Award Notices**

If successful, Applicant will receive a Notice of Award (NoA) signed and dated by the HHS Grants Management Officer. The NoA is the document authorizing the grant award and will be issued to the applicant as listed on the SF-424 and available to the Applicant organization through the online grants management system used by CMS and awardee organizations. Any communication between HHS and Applicant prior to issuance of the NoA is not an authorization to begin performance of a project.

If unsuccessful, Applicant will be notified electronically within 30 days of the award date.

**F2. Administrative and National Policy Requirements**

A. National/Public Policy Requirements

By signing the application, the authorized organizational official certifies that the organization will comply with applicable public policies. Once a grant is awarded, the Recipient is responsible for

establishing and maintaining the necessary processes to monitor its compliance and that of its employees and, as appropriate, subrecipients and contractors under the grant with these requirements. Recipient should consult the applicable Appropriations Law, Exhibit 3 of the HHS Grants Policy Statement, titled Public Policy Requirements, located in Section II, pages 3-6, as well as the terms and conditions of award for information on potentially applicable public policy requirements.

*Non-Discrimination*

All awardees receiving awards under this grant project must comply with all applicable Federal statutes relating to nondiscrimination, including, but not limited to:

a. Title VI of the Civil Rights Act of 1964,

b. Section 504 of the Rehabilitation Act of 1973,

c. The Age Discrimination Act of 1975, and

d. Title II, Subtitle A of the Americans with Disabilities Act of 1990.

*Accessibility Provisions*

Award recipients, as recipients of federal financial assistance (FFA) from Health and Human Services (HHS), must administer their programs in compliance with federal civil rights laws. This means that award recipients must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. It is HHS' duty to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations.

HHS provides guidance to award recipients on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. In addition, award recipients will have specific legal obligations for serving qualified individuals with disabilities by providing information in alternate formats.

Several sources of guidance are provided below:

1. https://www.hhs.gov/civil-rights/for-providers/index.html
2. https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html
3. https://minorityhealth.hhs.gov/
4. https://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html
5. https://www.hhs.gov/grants/contracts/contract-policies-regulations/hhsar/part-352-solicitation-provisions-contract-clauses/index.html
6. https://www.hhs.gov/ocr/civilrights/understanding/disability/index.html

Award recipients will be required to review and comply with the Accessibility Requirements outlined in Appendix F to this FOA.

Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at https://www.hhs.gov/ocr/about-us/index.html or call

1-800-368-1019 or TDD 1-800-537-7697.

B. Administrative Requirements

- All equipment, staff, and other budgeted resources and expenses must be used exclusively for the projects identified in the Applicant's original grant application or agreed upon subsequently with HHS, and may not be used for any prohibited uses.
- Consumers and other stakeholders must have meaningful input into the planning, implementation, and evaluation of the project.
- This award is subject to 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS awards [available at https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=df3c54728d090168d3b2e780a6f6ca7c&ty=HTML&h=L&mc=true&n=pt45.1.75&r=PART], which implements 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance") effective December 26, 2014. See below for more information.

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements**

Applicant and recipients should take particular note of the following information found in 45 CFR Part 75.

Uniform Administrative Requirements

In accordance with 45 CFR §75.112, all award recipients receiving federal funding from CMS must establish and comply with the conflict of interest policy requirements outlined by CMS (available for Applicant upon request).

In accordance with 45 CFR §75.113, Mandatory Disclosures, the non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the HHS awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII to 45 CFR Part 75 are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make the required disclosures can result in the imposition of any of the remedies described in §75.371, including suspension or debarment (see also 2 CFR Parts 180 and 376, and 31 U.S.C. 3321). For specific information on reporting such disclosures to CMS and HHS please see Section F3. Terms and Conditions of this FOA.

Cost Principles

CMS grant awards provide for reimbursement of actual, allowable costs incurred and are subject to the Federal cost principles. The cost principles establish standards for the allowability of costs, provide detailed guidance on the cost accounting treatment of costs as direct or indirect, and set forth allowability and allocability principles for selected items of cost. Applicability of a particular set of cost principles depends on the type of organization. Award recipients must comply with the cost principles set forth in HHS regulations at 45 CFR Part 75, Subpart E with the following exceptions: (1) hospitals must follow Appendix IX to part 75 and commercial (for-profit) organizations are subject to the cost principles located at 48 CFR subpart 31.2. As provided in the cost principles in 48 CFR subpart 31.2, allowable travel costs may not exceed those established by the Federal Travel Regulation (FTR).

There is no universal rule for classifying certain costs as either direct or indirect (also known as Facilities & Administration (F&A) costs) under every accounting system. A cost may be direct with respect to some specific service or function, but indirect with respect to the Federal award or other final cost objective. Therefore, it is essential that each item of cost incurred for the same purpose is treated consistently in like circumstances either as a direct or F&A cost in order to avoid double-charging of Federal awards. Guidelines for determining direct and F&A costs charged to Federal awards are provided in 45 CFR §§75.412 to 75.419. Requirements for development and submission of indirect (F&A) cost rate proposals and cost allocation plans are contained in Appendices III-VII, and Appendix IX to Part 75.

***Indirect Costs***

***HHS will reimburse indirect costs to recipients under an award if (1) allowable under the governing statute, regulations, or HHS grants policy; (2) the recipient requests indirect costs.*** Indirect costs on training grants are limited to a fixed rate of 8 percent of modified total direct cost (MTDC) exclusive of tuition and related fees, direct expenditures for equipment, and subawards and contracts under the grant in excess of $25,000.

*Cost Allocation*

In accordance with 45 CFR §75.416 and Appendix V to Part 75 – State/Local Government-wide Central Service Cost Allocation Plans, each state/local government will submit a plan to the HHS Cost Allocation Services for each year in which it claims central service costs under Federal awards. Guidelines and illustrations of central service cost allocation plans are provided in a brochure published by the HHS entitled "A Guide for State, Local and Indian Tribal Governments: Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government." A copy of this brochure may be obtained from the HHS Cost Allocation Services at https://rates.psc.gov. A current, approved cost allocation plan must be provided to CMS if central service costs are claimed.

*Public Assistance Cost Allocation Plans*

Appendix VI to Part 75 – Public Assistance Cost Allocation Plans, provides that state public assistance agencies will develop, document and implement, and the Federal Government will review, negotiate, and approve, public assistance cost allocation plans in accordance with Subpart E of 45 CFR part 95. The plan will include all programs administered by the state public assistance agency. Where a letter of approval or disapproval is transmitted to a state public assistance agency in accordance with Subpart E, the letter will apply to all Federal agencies and programs. This Appendix (except for the requirement for certification) summarizes the provisions of Subpart E of 45 CFR part 95.

<u>Audit Requirements</u>

The audit requirements in 45 CFR Part 75, Subpart F apply to each award recipient fiscal year that begins on or after December 26, 2014. A non-Federal entity that expends $750,000 or more during the non- Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of Subpart F, Audit Requirements.

Commercial Organizations (including for-profit hospitals) have two options regarding audits, as outlined in 45 CFR §75.501 (see also 45 CFR §75.216).

**F3. Terms and Conditions**

This announcement is subject to the Department of Health and Human Services Grants Policy Statement (HHS GPS) at http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf. 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. Standard and program specific terms of award will accompany the NoA. Potential applicants should be aware that special requirements could apply to grant awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the application by the HHS review panel. The recently released HHS regulation (45 CFR Part 75) supersedes information on administrative requirements, cost principles, and audit requirements for grants and cooperative agreements included in the current HHS Grants Policy Statement where differences are identified. Awardees must also agree to respond to requests that are necessary for the evaluation of national efforts and provide data on key elements of their own grant activities.

HHS may terminate any CMS award for material noncompliance. Material noncompliance includes, but is not limited to, violation of the terms and conditions of the award; failure to perform award activities in a satisfactory manner; improper management or use of award funds; or fraud, waste, abuse, mismanagement, or criminal activity.

In the event a Recipient or one of its subrecipients enters into proceedings relating to bankruptcy, whether voluntary or involuntary, the Recipient agrees to provide written notice of the bankruptcy to CMS. This written notice shall be furnished within five (5) days of the initiation of the proceedings relating to bankruptcy filing and sent to the CMS Grants Management Specialist and Project Officer. This notice shall include the date on which the bankruptcy petition was filed, the identity of the court in which the bankruptcy petition was filed, a copy of any and all of the legal pleadings, and a listing of
Government grant and cooperative agreement numbers and grant offices for all Government grants and cooperative agreements against which final payment has not been made.

Intellectual Property

Recipients under this solicitation must comply with the provisions of 45 CFR § 75.322, Intangible property and copyrights. 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 Federal 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. 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.

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.

**F4. Grant Terms and Conditions of Award**

The administrative and funding instrument used for this program will be a Grant, an assistance mechanism in which limited CMS programmatic involvement with the recipient is likely during the performance of the activities. Under each Grant, CMS' purpose is to foster a supportive relationship for the recipient's activities by being responsive to request from the award recipient, at her/his request. To facilitate appropriate involvement during the period of this Grant, CMS and the recipient will be in contact quarterly, and more frequently when appropriate.

Grant Roles and Responsibilities are as follows:

*Centers for Medicare and Medicaid*

CMS will have limited involvement in program awards, as outlined below:

- Technical Assistance – CMS will host opportunities for training and/or networking, including conference calls and other vehicles.
- Program Evaluation – CMS will work with award recipients to implement lessons learned and disseminate findings.
- Project Officers and Monitoring – CMS will assign specific Project Officers to the Grant award to support and monitor recipients throughout the period of performance. CMS Grants Management Officers, Grants Management Specialists, and Project Officers will monitor, on a regular basis, progress of each recipient. This monitoring may be by phone, document review, on-site visit, other meeting and by other appropriate means, such as reviewing program progress reports and Federal Financial Reports (FFR or SF-425). This monitoring will be to determine compliance with programmatic and financial requirements.

*Recipients*

Recipients and assigned points of contact retain the primary responsibility and dominant role for planning, directing and executing the proposed project as outlined in the terms and conditions of the Grant and with minimum CMS involvement. Recipients shall engage in the following activities:

- Reporting – comply with all reporting requirements outlined in this funding opportunity and the terms and conditions of the Grant to ensure the timely release of funds.
- Program Evaluation – cooperate with CMS-directed national program evaluations.
- Technical Assistance – participate in technical assistance venues as appropriate.
- Program Standards – comply with all applicable current and program requirements and standards, as detailed in regulations, guidance, and the grant terms and conditions provided with the NoA.

**F5. Reporting**

**a. Progress Reports**

Awardees must agree to cooperate and comply with any Federal oversight as it may pertain to the Minority Research Grant Program. Awardees must provide quarterly, annual, and final reports, as required, in the form prescribed by the Department of Health and Human Services, as well as any additional reports as required.

- Quarterly reports shall be due 30 days after the end of the first, second, third, fifth, sixth, and seventh quarters of the project period.
- Annual project reports shall be due 30 days after the first 12-months of the project period.
- Investigators must submit a complete draft of the final report no later than 60 days after the end of the project period. Investigators must address all feedback from the project officer and submit a finalized version of their final report 90 days after the end of the project period.

Reports shall be submitted electronically. The program progress narrative report elements are as follows:

1. Program Name;
2. Principle Investigator Name;
3. Reporting Period;
4. Budget Status – Include amounts for planned expenditure, actual expenditure, and deficit/surplus;
5. Work plan Chart/Timeline status;
6. Project description – Short summary;
7. Milestones – Milestones are high-level goals that often define the phases of a project. Record here milestones that have been reached at this point in the project;
8. Accomplishments – Tasks that were accomplished during this reporting period;
9. Projected Goals – Goals projected to be completed during the next reporting period; and
10. Issues – Emerging financial, research-related, staffing, or other challenges or obstacles that must be addressed for the project to be successful; once an issue is noted in a report, its progress should be tracked and documented in all subsequent reports until resolved.

All report submissions must be 508 compliant. For more information on ensuring 508 compliance: https://www.hhs.gov/web/section-508/index.html

**b. Financial Reports**

Semi-Annual, Annual, and Final Expenditure Reporting

Using the Federal Financial Report form (SF-425 or FFR) recipients must report on Federal expenditures, Recipient Share (if applicable), and Program Income (if applicable and/or allowable) at least annually. Frequency of expenditure reporting, whether semi-annually or annually, is stipulated in the Program Terms and Conditions of award. This information is reflected through completion of lines 10d through 10o of the FFR. Recipient must include information on indirect costs if approved as part of grant award.

Additional information on financial reporting will be provided in the terms and conditions of award.

**c. Federal Funding Accountability and Transparency Act Reporting Requirements**

New awards issued under this FOA are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109– 282), as amended by section 6202 of Public Law 110–252 and implemented by 2 CFR Part 170. Grant recipients must report information for each first-tier sub-award of $25,000 or more in Federal funds and executive total compensation for the recipient's and sub-recipient's five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at www.fsrs.gov/).

**d. Audit Requirements**

Grantees must comply with audit requirements outlined in HHS regulation 45 CFR Part 75 (implementing 2 CFR Part 200). See Subpart F – Audit Requirements. https://www.ecfr.gov/cgibin/retrieveECFR?gp=1&SID=df3c54728d090168d3b2e780a6f6ca7c&ty=HTML&h=L&mc=true&n=pt45.1.75&r=PART.

**e. Payment Management System Reporting Requirements**

Once an award is made, the funds are posted in recipient accounts established in the Payment Management System (PMS). Grantees may then access their funds by using the PMS funds request process. Recipients must submit a quarterly SF-425 via PMS. The report identifies cash transactions against the authorized funds for the award. Failure to submit the report may result in the ability to access funds.

The PMS funds request process enables grantees to request funds using a Personal Computer with an Internet connection. The funds are then delivered to the recipient via Electronic Funds Transfer (EFT). If you are a new grant recipient, please go to PMS Access Procedures to find information to register in PMS. If you need further help with that process, please contact the One-DHHS Help Desk via email at pmssupport@psc.gov or call (877) 614-5533 for assistance.

## G. CMS Contacts

### G1. Programmatic Questions

For programmatic questions about this Grant please contact:

Centers for Medicare & Medicaid Services

Office of Minority Health

E-mail: HealthEquityTA@cms.hhs.gov

### G2. Administrative Questions

For administrative questions about this Grant please contact:

Sharron Jernigan

Centers for Medicare & Medicaid Services

Office of Acquisition & Grants Management

Mail Stop: B3-01-10

7500 Security Boulevard

Baltimore, MD 21244

Telephone: 410-786-3478

e-mail: sharron.jernigan@cms.hhs.gov

## Appendix A. Guidance for Preparing a Budget Request and Narrative

Applicants should request funding only for activities which will be funded by this specific Notice of Funding Opportunity. All applicants must submit the Standard Form SF-424A as well as a Budget Narrative. The Budget Narrative should provide detailed cost itemizations and narrative supporting justification for the costs outlined in SF-424A. Both the Standard Form SF-424A and the Budget Narrative must include a yearly breakdown of costs for the entire project period.
Please review the directions below to ensure both documents are accurately completed and consistent with application requirements.

### Standard Form SF-424A

All applicants must submit an SF-424A. To fill out the budget information requested on form SF-424A, review the general instructions provided for form SF 424A and comply with the instructions outlined below.

- Note: The directions in the FOA may differ from those provided by Grants.gov. Please follow the instructions included in this NOFO as outlined below when completing the SF-424A.
- Note: The total requested on the SF-424 (Application for Federal Assistance) should be reflective of the overall total requested on the SF-424A (Budget Information – Non-Construction) for the entire project period.

Section A – Budget Summary

- *Grant Program Function or Activity* (column a) = Enter "Name of Notice of Funding Opportunity" in row 1.
- *New or Revised Budget, Federal* (column e) = Enter the Total Federal Budget Requested for the project period in rows 1 and 5.
- *New or Revised Budget, Non-Federal* (column f) = Enter Total Amount of any Non- Federal Funds Contributed (if applicable) in rows 1 and 5.
- *New or Revised Budget, Total* (column g) = Enter Total Budget Proposed in rows 1 and 5, reflecting the sum of the amount for the Federal and Non-Federal Totals.

Section B – Budget Categories

- Enter the total costs requested for each Object Class Category (Section B, number 6) for each year of the project period. Notice of Funding Opportunities with a 5-year project period will need to also utilize a second SF-424A form.

  Column (1) = Enter Year 1 costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j.

The total for direct and indirect charges for all year 1 line items should be entered in column 1, row k (sum of row i and j).

- Column (2) = (If applicable) Enter Year 2 estimated costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j. The total for direct and indirect charges for all year 2 line items should be entered in column 2, row k (sum of row i and j).
- Column (3) = (If applicable) Enter Year 3 estimated costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j. The total for direct and indirect charges for all year 3 line items should be entered in column 3, row k (sum of row i and j).
- Column (4) = (If applicable) Enter Year 4 estimated costs for each line item (rows a-h), including the sum of the total direct charges (a-h) in row i. Indirect charges should be reflected in row j. The total for direct and indirect charges for all year 4 items should be entered in column 4, row k (sum of row i and j).
- Column (5) = Enter total costs for the project period for each line item (rows a-h), direct total costs (row i), and indirect costs (row j). The total costs for all line items should be entered in row k (sum of row i and j). The total in column 5, row k should match the total provided in Section A – Budget Summary, New or Revised Budget, column g, row 5.

- If the NOFO is for a 5-year project period, please complete a second SF-424A form and upload it as an attachment to the application (this specific attachment will not be counted towards the page limit). Year 5 information should be included in column 1 of Section B. Then enter the total for years 1-4 (per the first SF-424A form) in column 2 of Section B. The second SF-424A form will compute columns 1 and 2, reflecting total costs for the entire project period. This total should be consistent with the total Federal costs requested on the SF-424, Application for Federal Assistance. A blank SF-424A form can be found at Grants.gov: https://www.grants.gov/web/grants/forms/sf-424-individual-family.html#sortby=1

**Budget Narrative – Sample Narrative and Instructions**

Applicants must complete a Budget Narrative and upload it to the Budget Narrative Attachment Form in the application kit. Applicants must request funding only for activities not already funded/supported by a previous award. Awards should support separate activities and new federal funding should not be supplanted by prior federal funding. In the budget request, Applicant should distinguish between activities that will be funded under this application and activities funded with other sources. Other funding sources include other HHS grant programs, and other federal funding sources as applicable.

A sample Budget Narrative is included below.

**A. (Personnel) Salaries and Wages**

For each requested position, provide the following information: title of position; name of staff member occupying the position, if available; annual salary; percentage of time budgeted for this program; total months of salary budgeted; and total salary requested. Also, provide a justification and describe the scope of responsibility for each position, relating it to the accomplishment of program objectives. These individuals must be employees of the applicant organization.

***Sample Budget***

*Personnel Total $* _____

*Grant $* _____

*Funding other than Grant $* _____

*Sources of Funding* _____

| **Position Title** | **Name (if known)** | **Annual** | **Time** | **Months** | **Amount Requested** |
|---|---|---|---|---|---|
| Project Coordinator | Jane Doe | $45,000 | 100% | 12 months | $45,000 |
| Finance Administrator | John Doe | $28,500 | 50% | 12 months | $14,250 |
| Outreach Supervisor | Vacant | $27,000 | 100% | 12 months | $27,000 |
| Total: | | | | | $86,250 |

***Sample Justification***

The format may vary, but the description of responsibilities should be directly related to specific program objectives.

*Job Description: Project Coordinator - (Name)*

*This position directs the overall operation of the project; responsible for overseeing the implementation of project activities, coordination with other agencies, development of materials, provisions of in-service and training, conducting meetings; designs and directs the gathering, tabulating and interpreting of required data; responsible for overall program evaluation and for staff performance evaluation; and is the responsible authority for ensuring necessary reports/documentation are submitted to HHS. This position relates to all program objectives.*

**B. Fringe Benefits**

Fringe benefits are usually applicable to direct salaries and wages. Provide information on the rate of fringe benefits used and the basis for their calculation. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed. This information must be provided for each position (unless the rates for all positions are identical).

***Sample Budget***

*Fringe Benefits Total $_____*

*Grant $ _____*

*Funding other than Grant $ _____*

*Sources of Funding_____*

| **Fringe Benefit** | **Rate** | **Salary Requested** | **Amount Requested** |
|---|---|---|---|
| FICA | 7.65% | $45,000 | $3443 |
| Worker's Compensation | 2.5% | $14,250 | $356 |
| Insurance | Flat rate - $2,000 (100% FTE for 12 months) | $2,000 | $2,000 |
| Retirement | 5% | $27,000 | $1,350 |
| Total | | | $7,149 |

**C. Travel**

Dollars requested in the travel category should be for **staff travel only**. Travel for consultants should be shown in the consultant category. Allowable travel for other participants, advisory committees, review panel, etc. should be itemized in the same way specified below and placed in the **"Other"** category. Travel incurred through a contract should be shown in the contractual category.

Provide a narrative describing the travel staff members will perform. This narrative must include a justification which explains why this travel is necessary and how it will enable the applicant to complete program requirements included in the Notice of Funding Opportunity.

List where travel will be undertaken, number of trips planned, who will be making the trip, and approximate dates. If mileage is to be paid, provide the number of miles and the cost

per mile. The mileage rate cannot exceed the rate set by the General Services Administration (GSA). If travel is by air, provide the estimated cost of airfare. The lowest available commercial airfares for coach or equivalent accommodations must be used. If per diem/lodging is to be paid, indicate the number of days and amount of daily per diem as well as the number of nights and estimated cost of lodging. Costs for per diem/lodging cannot exceed the rates set by GSA. Include the cost of ground transportation when applicable. Please refer to the GSA website by using the following link http://www.gsa.gov/portal/content/104877.

***Sample Budget***

*Travel Total $* _____

*Grant $* _____

*Funding other than Grant $* _____

*Sources of Funding* _____

| Purpose of Travel | Location | Item | Rate | Cost |
|---|---|---|---|---|
| Site Visits | Neighboring areas of XXX | Mileage | $0.545 x 49 miles (use mileage rate in effect at time of mileage incurrence) x 25 trips | $668 |
| Training (ABC) | Chicago, IL | Airfare | $200/flight x 2 persons | $400 |
| | | Luggage Fees | $50/flight x 2 persons | $100 |
| | | Hotel | $140/night x 2 persons x 3 nights | $840 |
| | | Per Diem (meals) | $49/day x 2 persons x 4 days | $392 |
| | | Transportation (to and from airport) | $50/shuttle x 2 persons x 2 shuttles | $200 |
| | | Transportation (to and from hotel) | $25/shuttle x 2 persons x 2 shuttles | $100 |
| Total | | | | $2,700 |

***Sample Justification***

*The Project Coordinator and the Outreach Supervisor will travel to (location) to attend a conference on the following topic XXXX. This conference is only held once a year in Chicago, IL. Attending this conference is directly linked to project goals/objectives and is a necessity because XXXX. The information and tools we will gather from attending this conference will help us to accomplish project objectives by XXXX. A sample itinerary can be provided upon request. The Project Coordinator will also make an estimated 25 trips to birth center sites to monitor program implementation (# of birth centers, # of trips per site). We are still in the process of identifying all birth center sites, but have identified an average mileage total for each site. This travel is necessary to ensure birth center sites are consistently and systematically collecting birth center data and submitting by deadlines provided. On-site monitoring will enable us to immediately address concerns. This travel also furthers our efforts to accomplish specific project goals for the following reasons*

_____.

**D. Equipment**

Equipment is tangible nonexpendable personal property, including exempt property, charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. However, consistent with recipient policy, lower limits may be established. Technology items such as computers that do not meet the $5,000 per unit threshold or an alternative lower limit set by recipient policy that may therefore be classified as supplies, must still be individually tagged and recorded in an equipment/technology database. This database should include any information necessary to properly identify and locate the item. For example: serial # and physical location of equipment (e.g. laptops, tablets, etc.).

Provide justification for the use of each item and relate it to specific program objectives. Maintenance or rental fees for equipment should be shown in the "Other" category. All IT equipment should be uniquely identified. Show the unit cost of each item, number needed, and total amount.

***Sample Budget***

*Equipment Total $* _____

*Grant $* _____

*Funding other than Grant $* _____

*Sources of Funding* _____

| Item(s) | Rate | Cost |
|---|---|---|
| All-in-one Printer, Copier, and Scanner (large scale) | 1 @ $5,800 | $5,800 |
| X-Ray Machine | 1 @ $8,000 | $8,000 |
| Total: | | $13,800 |

***Sample Justification***

*Provide complete justification for all requested equipment, including a description of how it will be used in the program. For equipment and tools which are shared amongst programs, please cost allocate as appropriate. Applicant should provide a list of hardware, software and IT equipment which will be required to complete this effort. Additionally, they should provide a list of non-IT equipment which will be required to complete this effort*.

**E. Supplies**

Supplies includes all tangible personal property with an acquisition cost of less than $5,000 per unit or an alternative lower limit set by recipient policy. Individually list each item requested. Show the unit cost of each item, number needed, and total amount. Provide justification for each item and relate it to specific program objectives. If appropriate, General Office Supplies may be shown by an estimated amount per month times the number of months in the budget category.

***Sample Budget***

*Supplies Total $* _____

*Grant $* _____

*Funding other than Grant $* _____

*Sources of Funding*_____

| Item(s) | Rate | Cost |
|---|---|---|
| Laptop Computer | 2 @ $1,000 | $2,000 |
| Printer | 1 @ $200 | $200 |

| Item(s) | Rate | Cost |
|---|---|---|
| General office supplies | 12 months x $24/mo x 10 staff | $2,880 |
| Educational pamphlets | 3,000 copies @ $1 each | $3,000 |
| Educational videos | 10 copies @ $150 each | $1,500 |
| Total: | | $9,580 |

***Sample Justification***

*General office supplies will be used by staff members to carry out daily activities of the program.*

*The project coordinator will be a new position and will require a laptop computer and printer to complete required activities under this notice of funding opportunity. The price of the laptop computer and printer is consistent with those purchased for other employees of the organization and is based upon a recently acquired invoice (which can be provided upon request). The pricing of the selected computer is necessary because it includes the following tools XXXX (e.g. firewall, etc.). The education pamphlets and videos will be purchased from XXX and used to illustrate and promote safe and healthy activities. Usage of these pamphlets and videos will enable us to address components one and two of our draft proposal. Word Processing Software will be used to document program activities, process progress reports, etc.*

**F. Consultant/Subrecipient/Contractual Costs**

All consultant/subrecipient/contractual costs should include complete descriptions and cost breakdowns – for each consultant, subrecipient or contract. The following information, outlined below, should be provided for each consultant, sub-award (subrecipient) or contract.

**REQUIRED REPORTING INFORMATION FOR CONSULTANT HIRING**

This category is appropriate when hiring an individual who gives professional advice or provides services (e.g. training, expert consultant, etc.) for a fee and who is not an employee of the grantee organization. Submit the following required information for consultants:

1. Name of Consultant: Identify the name of the consultant and describe his or her qualifications.
2. Organizational Affiliation: Identify the organizational affiliation of the consultant, if applicable.

3. Nature of Services to be Rendered: Describe in outcome terms the consultation to be provided including the specific tasks to be completed and specific deliverables. A copy of the actual consultant agreement should not be sent to HHS.
4. Relevance of Service to the Project: Describe how the consultant services relate to the accomplishment of specific program objectives.
5. Number of Days of Consultation: Specify the total number of days of consultation.
6. Expected Rate of Compensation: Specify the rate of compensation for the consultant (e.g., rate per hour, rate per day). Include a budget showing other costs such as travel, per diem, and supplies.
7. Justification of expected compensation rates: Provide a justification for the rate, including examples of typical market rates for this service in your area.
8. Method of Accountability: Describe how the progress and performance of the consultant will be monitored. Identify who is responsible for supervising the consultant agreement.

If the above information is unknown for any consultant at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. In the Budget Narrative, a summary should be provided of the proposed consultants, the work to be completed, and amounts for each. Recipient must not incur costs for consultant activities until the aforementioned information is provided for each consultant and CMS approval obtained.

**REQUIRED REPORTING INFORMATION FOR SUBRECIPIENT APPROVAL**

The costs of project activities to be undertaken by a third-party subrecipient should be included in this category. Please see 45 CFR Part 75.351, *Subrecipient and contractor determinations*.
Applicants must submit information on the (a) Statement of Work; (b) Period of Performance; and (c) Itemized Budget and Justification. If this information is unknown at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. In the Budget Narrative, a summary should be provided of the proposed sub-awards (subrecipients), the work to be completed, and amounts for each. Recipient must not incur costs for subrecipient activities until the aforementioned information is provided for each subrecipient and CMS approval obtained.

**REQUIRED REPORTING INFORMATION FOR CONTRACT APPROVAL**

All recipients must submit to HHS the following required information for establishing a third- party contract to perform project activities.

1. Name of Contractor: Who is the contractor? Identify the name of the proposed contractor and indicate whether the contract is with an institution

or organization.

2. Method of Selection: How was the contractor selected? State whether the contract is sole source or competitive bid. If an organization is the sole source for the contract, include an explanation as to why this institution is the onlyone able to perform contract services.
3. Period of Performance: How long is the contract period? Specify the beginning and ending dates of the contract.
4. Scope of Work: What will the contractor do? Describe in outcome terms, the specific services/tasks to be performed by the contractor as related to the accomplishment of program objectives. Deliverables should be clearly defined.
5. Method of Accountability: How will the contractor be monitored? Describe how the progress and performance of the contractor will be monitored during and on close of the contract period. Identify who will be responsible for supervising the contract.
6. Itemized Budget and Justification: Provide an itemized budget with appropriate justification. If applicable, include any indirect cost paid under the contract and the indirect cost rate used.

If the above information is unknown for any contractor at the time the application is submitted, the information may be submitted at a later date as a revision to the budget. Copies of the actual contracts should not be sent to HHS, unless specifically requested. In the Budget Narrative, a summary should be provided of the proposed contracts, the work to be completed, and amounts for each. Recipient must not incur costs for contractual activities until the aforementioned information is provided for each contract and CMS approval obtained.

**G. Construction (not applicable)**

**H. Other**

This category contains items not included in the previous budget categories. Individually list each item requested and provide appropriate justification related to the program objectives.

***Sample Budget***

*Other Total $ _____*

*Grant $ _____*

*Funding other than Grant $ _____*

*Sources of Funding _____*

| Item(s) | Rate | Cost |
|---|---|---|
| Telephone | $45 per month x 3 employees x 12 months | $1,620 |
| Postage | $250 per quarter x 4 quarters | $1,000 |
| Printing | $0.50 x 3,000 copies | $1,500 |
| Equipment Rental *specify item | $1,000 per day for 3 days | $3,000 |
| Internet Provider Service | $20 per month x 3 employees x 12 months | $720 |
| Word Processing Software (specify type) | 1 @ $400 | $400 |
| Total: | | $8,240 |

[Some items are self-explanatory (telephone, postage, rent) unless the unit rate or total amount requested is excessive. If the item is not self-explanatory and/or the rate is excessive, include additional justification. For printing costs, identify the types and number of copies of documents to be printed (e.g., procedure manuals, annual reports, materials for media campaign).]

***Sample Justification***

*We are requesting costs to accommodate telephone and internet costs for the 3 new hires that will be working on this project in the new space designated. We are also requesting printing and postage costs to support producing fliers to disseminate in the community and brochures to educate participants enrolled in the program. The word processing software will be used to help us track data and compile reports. To track and compile the data, we will need to rent _____. Without this equipment, we will not be able to produce this information in an accurate and timely manner.*

**I. Total Direct Costs** **$_____**

Show total direct costs by listing totals of each category.

**J. Indirect Costs** **$_____**

Indirect costs on training grants are limited to a fixed rate of 8 percent of modified total direct cost (MTDC) exclusive of tuition and related fees, direct expenditures for equipment, and subawards and contracts under the grant in excess of $25,000.

***Sample Budget***

*The rate is____% and is computed on the following direct cost base of $_____.*

*Personnel $ _____*

*Fringe $ _____*

*Travel $ _____*

*Supplies $ _____*

*Other $ _____*

*Total $ x____% = Total Indirect Costs*

## Appendix B. Application and Submission Information

This FOA contains all the instructions to enable a potential applicant to apply. The application should be written primarily as a narrative with the addition of standard forms required by the Federal government for all grants and cooperative agreements.

EIN, DUNS, AND SAM REQUIREMENTS (ALL APPLICATIONS)

*Employer Identification Number*
All applicants under this announcement must have an Employer Identification Number (EIN), otherwise known as a Taxpayer Identification Number (TIN), to apply. **Please note, applicants should begin the process of obtaining an EIN/TIN as soon as possible after the announcement is posted to ensure this information is received in advance of application deadlines.**

*Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS Number)*
All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. The DUNS number is a nine-digit number that uniquely identifies business entities. To obtain a DUNS number access the following website: https://fedgov.dnb.com/webform/ or call 1-866-705-5711. This number should be entered in block 8c (on Form SF-424, Application for Federal Assistance). The organization name and address entered in block 8a and 8e should be exactly as given for the DUNS number. Applicants should obtain this DUNS number as soon as possible after the announcement is posted to ensure all registration steps are completed in time.

*System for Award Management (SAM)*
The applicant must also register in the System for Award Management (SAM) database in order to be able to submit the application. Applicants are encouraged to register early, and must have their DUNS and EIN/TIN numbers in order to do so. Information about SAM is available at https://www.sam.gov/SAM/ . The SAM registration process is a separate process from submitting an application. **Applicants should begin the SAM registration process as soon as possible after the announcement is posted to ensure that it does not impair your ability to meet required submission deadlines.**

SAM registration process is a separate process from submitting an application. Applicants are encouraged to register early, and must provide their DUNS and EIN/TIN numbers in order to do so. **Applicants should begin the SAM registration process as soon as possible after the announcement is posted to ensure that it does not impair your ability to meet required submission deadlines.**

Each year organizations and entities registered to apply for Federal grants through Grants.gov (or GrantSolutions as applicable) must renew their registration with SAM. **Failure to renew SAM registration prior to application submission will prevent an applicant from successfully**

**applying via Grants.gov (or GrantSolutions as applicable). Similarly, failure to maintain an active SAM registration during the application review process can prevent HHS from issuing your agency an award.**

Applicants must also successfully register with SAM prior to registering in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) as a prime awardee user. Please also refer to F5.C. (Federal Funding Accountability and Transparency Act Reporting Requirements) of this Funding Opportunity for more information. Primary awardees must maintain a current registration with the SAM database, and **may make subawards only to entities that have DUNS numbers.**

Organizations must report executive compensation as part of the registration profile at https://www.sam.gov/portal/public/SAM/ by the end of the month following the month in which this award is made, and annually thereafter (based on the reporting requirements of the Federal Funding
Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended by Section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170). The Grants Management Specialist assigned to monitor the sub-award and executive compensation reporting requirements is Iris Grady, who can be reached at divisionofgrantsmanagement@cms.hhs.gov.

**APPLICATION MATERIALS AND INSTRUCTIONS TO APPLY VIA GRANTS.GOV (COMPETITIVE APPLICATIONS)**

Application materials will be available for download at http://www.grants.gov. Please note that HHS requires applications for all announcements to be submitted electronically through http://www.grants.gov. For assistance with http://www.grants.gov, contact support@grants.gov or 1- 800-518-4726. At http://www.grants.gov, applicants will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website.

Specific instructions for applications submitted via http://www.grants.gov**:**

- You can access the electronic application for this project at http://www.grants.gov. You must search the downloadable application page by the CFDA number.
- At the http://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. HHS strongly recommends that you do not wait until the application due date to begin the application process through http://www.grants.gov because of the time needed to complete the required registration steps. **Applications not submitted by the due date and time are considered late and will not be reviewed.**

- Authorized Organizational Representative: The Authorized Organizational Representative (AOR) who will officially submit an application on behalf of the organization must register with Grants.gov for a username and password. AORs must complete a profile with Grants.gov using their organization's DUNS Number to obtain their username and password at http://grants.gov/applicants/get_registered.jsp. AORs must wait one business day after successful registration in SAM before entering their profiles in Grants.gov. **Applicants should complete this process as soon as possible after successful registration in SAM to ensure this step is completed in time to apply before application deadlines. Applications that are not submitted by the due date and time as a result of AOR issues will not be reviewed.**
- When an AOR registers with Grants.gov to submit applications on behalf of an organization, that organization's E-Biz POC will receive an email notification. The email address provided in the profile will be the email used to send the notification from Grants.gov to the E-Biz POC with the AOR copied on the correspondence.
- The E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the special password called "M-PIN") and approve the AOR, thereby providing permission to submit applications.
- **Any files uploaded or attached to the Grants.gov application must be PDF file format and must contain a valid file format extension in the filename.** Even though Grants.gov allows applicants to attach any file formats as part of their application, CMS restricts this practice and only accepts PDF file formats. Any file submitted as part of the Grants.gov application that is not in a PDF file format, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process. In addition, the use of compressed file formats such as ZIP, RAR, or Adobe Portfolio will not be accepted. The application must be submitted in a file format that can easily be copied and read by reviewers. It is recommended that scanned copies not be submitted through Grants.gov unless the applicant confirms the clarity of the documents. Pages cannot be reduced in size, resulting in multiple pages on a single sheet, to avoid exceeding the page limitation**. All documents that do not conform to the above specifications will be excluded from the application materials during the review process.** Please also refer to Section D2. Content and Form of Application Submission.
- After you electronically submit your application, you will receive an acknowledgement from http://www.grants.gov that contains a Grants.gov tracking number. HHS will retrieve your application package from Grants.gov. **Please note, applicants may incur a time delay before they receive acknowledgement that the application has been accepted by the Grants.gov system. Applicants should not wait until the application deadline to apply because notification by Grants.gov that the application is incomplete may not**

**be received until close to or after the application deadline, eliminating the opportunity to correct errors and resubmit the application. Applications submitted after the deadline, as a result of errors on the part of the applicant, will not be reviewed.**

- After HHS retrieves your application package from Grants.gov, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by Grants.gov.

Applications cannot be accepted through any email address. Full applications can only be accepted through https://www.grants.gov/. Full applications cannot be received via paper mail, courier, or delivery service.

All grant applications must be submitted electronically and be received through https://www.grants.gov/ by 3:00 p.m. Eastern Standard or Daylight Time (Baltimore, MD) for the applicable deadline date. Please refer to the Executive Summary for submission date.

All applications will receive an automatic time stamp upon submission and applicants will receive an email reply acknowledging the application's receipt.

Please be aware of the following:

1) Search for the application package in Grants.gov by entering the CFDA number. This number is shown on the cover page of this announcement.
2) If you experience technical challenges while submitting your application electronically, please contact Grants.gov Support directly at: https://www.grants.gov/support.html or (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on Federal holidays).
3) Upon contacting Grants.gov, obtain a tracking number as proof of contact. The tracking number is helpful if there are technical issues that cannot be resolved.

To be considered timely, applications must be received by the published deadline date. However, a general extension of a published application deadline that affects all State applicants or only those in a defined geographical area may be authorized by circumstances that affect the public at large, such as natural disasters (e.g., floods or hurricanes) or disruptions of electronic (e.g., application receipt services) or other services, such as a prolonged blackout. This statement does not apply to an individual entity having internet service problems. In order for there to be any consideration there must be an effect on the public at large.

Grants.gov complies with Section 508 of the Rehabilitation Act of 1973. If an individual uses assistive technology and is unable to access any material on the site, including forms contained with an application package, they can e-mail the Grants.gov contact center at

support@grants.gov for help, or call 1-800-518-4726.

**Application Materials and Instructions to Apply via Grantsolutions (Single Source or Other Non- Competitive Applications)**

Application materials will be available for download at www.grantsolutions.gov. Applicants can download a copy of the application packet, complete it off-line, and then upload and submit the application via the www.grantsolutions.gov website.

Specific instructions for applications submitted via www.grantsolutions.gov:

- The Authorized Organizational Representative (AOR) who will officially submit an application on behalf of the organization must register with www.grantsolutions.gov fora username and password. Log into GrantSolutions with your username and password.
- Click on the *Begin an Application* link to locate the Announcement (within the *My Applications List* screen).
- The *Competing Announcements – Application Kits* screen will appear. Locate the Announcement title on either the cover page or Executive Summary of this FOA.
- Click on the link provided in the applicable announcement title to view details about the selected announcement. Click on the Apply link at the right to begin the application.
- The GrantSolutions Application Control Checklist screen will appear with the status Work in Progress.

The checklist screen contains the following information

- Status: The stage of the application. Statuses include Work in Progress and Submitted
- Print Application – Original Submission: Click the Original Submission link to view, print, or save a PDF of the entire application package (completed forms, attachments, etc.)
- Applicant, Applicant Number, and Project Information: Read-only information about the applicant and project
- Applicant Kit: Includes online forms, enclosures, attachments, and form statuses
- Verify Submission: Submit Application
- Close: Return to previous screen

- Applicant must review and comply with all requirements contained in the Funding Opportunity Announcement – included under header *Grant Announcement*.
- Applicant should review the following document included under the header *Information for the Applicant*: **Quick Sheet: How to Apply**. This document contains detailed instructions on the completion and submission of the application directly to www.GrantSolutions.gov.

- Applicant must complete the following online forms:
  - SF-424 Application for Federal Assistance
  - SF-424A Budget Information – Non-Construction
  - SF-424B- Assurances – Non-Construction
  - SF-LLL Disclosure of Lobbying Activities
  - Project Site Location Form

To electronically complete a form in GrantSolutions, click the Enter Online link for the desired form (i.e. SF-424A). Specific directions for completion of the online forms are included in the document, **Quick Sheet: How to Apply**.

- Applicant must create the following documents and upload them under the header, *Additional Information to be Submitted*:

  - Project Abstract
  - Project Narrative
  - Budget Narrative
  - Business Assessment of Applicant Organization
  - Indirect Cost Rate Agreement (as applicable)
  - Other (as applicable)

Specific instructions for upload of these narratives are included in the document, Quick Sheet:

**How to Apply.**

- **Any files uploaded or attached to the application must be PDF file format and must contain a valid file format extension in the filename**. Any file submitted that is not in a PDF file format, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process. In addition, the use of compressed file formats such as ZIP, RAR, or Adobe Portfolio will not be accepted. The application must be submitted in a file format that can easily be copied and read by reviewers.
- It is recommended that scanned copies not be submitted through www.grantsolutions.gov unless the applicant confirms the clarity of the documents. Pages cannot be reduced in size, resulting in multiple pages on a single sheet, to avoid exceeding the page limitation. All documents that do not conform to the above specifications will be excluded from the application materials during the review process.
- Once all necessary forms are completed, attachments are uploaded, and there is one or more check marks in the Status column, scroll to the bottom of the screen and click the Verify Submission button. Review the page to ensure all online forms are listed. Click Final Submission. Applicant will be prompted to

verify the application should be submitted. Once the application is submitted, the status of the application is updated and CMS will receive email notification that an application has been submitted.

An application must be received via www.grantsolutions.gov. An application submitted through other means will not be accepted. The deadline date to apply is listed in the cover page and Executive Summary of this FOA.

## Appendix C. Application Check-Off List Required Contents

### Required Contents

A complete proposal consists of the materials organized in the sequence below. Please ensure that the project and budget narratives are page-numbered and the below forms are completed with an electronic signature and enclosed as part of the proposal. **Everything listed below must be submitted through www.grantsolutions.gov, and formatting requirements followed.**

For specific requirements and instructions on application package, forms, formatting, please see:

Section D: Application and Submission

Section E: Application Review Information

Appendix A: Sample Budget and Narrative Justifications

Standard Forms

- ☐ SF 424: Application for Federal Assistance
- ☐ SF-424A: Budget Information
- ☐ SF-424B: Assurances-Non-Construction Programs
- ☐ SF-LLL: Disclosure of Lobbying Activities
- ☐ Project Abstract Summary
- ☐ Project Site Location Form

Narrative Documents

- ☐ Project Narrative
- ☐ Budget Narrative
- ☐ Business Assessment of Applicant Organization

## Appendix D. Business Assessment of Applicant Organization

An applicant must review and answer the business assessment questions outlined below. There are ten (10) topic areas labeled A-J, with a varying number of questions within each topic area. Applicant MUST provide an answer to each question. Moreover, the applicant should refrain from solely answering "yes" or "no" to each question or solely providing web site address(es) – i.e., a brief, substantive answer should be given for almost all questions (referring to sections of official agency policy is acceptable. If the answer to any question is non-applicable, please provide an explanation. Please note, if CMS cannot complete its review without contacting the applicant for additional clarification, the applicant may not be selected for award.

### A. General Information

1. Does the organization have a Board of Directors with specific functions and responsibilities (by-laws)?
2. Are minutes of the Board of Directors' meetings maintained?
3. Is there an organizational chart or similar document establishing clear lines of responsibility and authority?
4. Are duties for key employees of the organization defined?
5. Does the organization have grants or cost-reimbursement contracts with other U.S. Department of Health and Human Services components or other Federal agencies?
6. Have any aspects of the organization's activities been audited recently by a Government agency or independent public accountant?
7. Has the organization obtained fidelity bond coverage for responsible officials and employees of the organization?
8. Has the organization obtained fidelity bond insurance in amounts required by statute or organization policy?

### B. Accounting System

1. Is there a chart of accounts?
2. Is a double-entry accounting system used?
3. Does the organization maintain the basic books of account as applicable?
    a. General ledger
    b. Operating ledger
    c. Project (Job) cost ledger
    d. Cash receipts journal

e. Cash disbursement journal
f. Payroll journal
g. Income (sales) journal
h. Purchase journal
i. General journal

4. Does the accounting system adequately identify receipt and disbursement for each grant (or contract)?
5. Does the accounting system provide for the recording of expenditures for each program by required budget cost categories?
6. Does the accounting system provide for recording the non-Federal share and in-kind contributions (if applicable for a grant program)?
7. Does the organization prepare financial statements at least annually? If not, how often?
8. Have the financial statements been audited within the past 2 years by an independent public accountant?
9. Does the organization have a bookkeeper or accountant? If no, who is in charge of the accounting section?
10. Is there an accounting instruction manual?

**C. Budgetary Controls**

1. Does the organization use an operating budget to control project funds?
2. Are persons in the organization who approve budget amendments authorized to do so by the Agency of Directors or top management?
3. Are there budgetary controls in effect to preclude incurring obligations in excess of:
    a. Total funds available for an award?
    b. Total funds available for a budget cost category?
4. Are cash requirements and/or drawdowns limited to immediate need?

**D. Personnel**

1. Are personnel policies established in writing or in the process of preparation which detail at a minimum:
    a. Duties and responsibilities of each employee's position?
    b. Qualifications for each position?
    c. Salary ranges associated with each job?
    d. Promotion Plan?
    e. Equal Employment Opportunity?
    f. Annual performance appraisals?
    g. Types and levels of fringe benefits paid to professionals, nonprofessionals, officers, or governing Agency members?

2. Is employee compensation reasonable and comparable to that paid for similar work in the competitive labor market?
3. Are salary comparability surveys conducted? How often?
4. Are salaries of personnel assigned to Government projects about the same as before assignment? Identify reasons for significant increases.
5. Does the organization maintain a payroll distribution system which meets the required standards as contained in the applicable cost principles for that organization?
6. Does the organization maintain daily attendance records for hourly employees? Does this show actual time employees sign in and out?
7. Does the payroll distribution system account for the total effort (100%) for which the employee is compensated by the organization?
8. Who signs and certifies work performed in items 5, 6, and 7 above?
9. Where duties require employees to spend considerable time away from their offices, are reports prepared for their supervisors disclosing their outside activities?

**E. Payroll**

1. Does preparation of the payroll require more than one employee?
2. Are the duties of those individuals preparing the payroll related?
3. Are the names of employees hired reported in writing by the personnel office to the payroll department?
4. Are the names of employees terminated reported in writing by the personnel office to the payroll department?
5. Is the payroll verified at regular intervals against the personnel records?
6. Are all salaries and wage rates authorized and approved in writing by a designated official or supervisor?
7. Are vacation and sick leave payments similarly authorized and approved?
8. Is there verification against payments for vacation, sick leave, etc., in excess of amounts approved and/or authorized?
9. Is the payroll double-checked as to:
    a. Hours?
    b. Rates?
    c. Deductions?
    d. Extensions, etc.?
10. Are signed authorizations on file for all deductions being made from employees' salaries and wages?
11. Is the payroll signed prior to payment by the employee preparing the payroll? The employee checking the payroll?
12. Are salary payrolls approved by an authorized official prior to payment?

13. Are employees paid by check or direct deposit? If no, how are they paid?
14. If paid by check, are the checks pre-numbered?
15. Are checks drawn and signed by employees who do not:
    a. Prepare the payroll?
    b. Have custody of cash funds?
    c. Maintain accounting records?
16. Are payroll checks distributed to employees by someone other than the supervisor?
17. Is there a payroll bank account? If no, will one be opened if recipient is selected for award?
18. Is the payroll bank account reconciled by someone other than payroll staff or personnel who sign and distribute the paychecks?

**F. Consultants**

1. Are there written policies or consistently followed procedures regarding the use of consultants which detail at a minimum:
    a. Circumstances under which consultants may be used?
    b. Consideration of in-house capabilities to accomplish services before contracting for them?
    c. Requirement for solicitation or bids from several contract sources to establish reasonableness of cost and quality of services to be provided?
    d. Consulting rates, per diem, etc.?
2. Are consultants required to sign consulting agreements outlining services to be rendered, duration of engagement, reporting requirements, and pay rates?

**G. Property Management**

1. Are records maintained which provide a description of the items purchased, the acquisition cost, and the location?
2. Are detailed property and equipment records periodically balanced to the general ledger?
3. Are detailed property and equipment records periodically checked by physical inventory?
4. Are there written procedures governing the disposition of property and equipment?
5. Are periodic reports prepared showing obsolete equipment, equipment needing repair, or equipment no longer useful to the organization?
6. Does the organization have adequate insurance to protect the Federal interest in equipment and real property?

**H. Purchases**

1. Does the organization have written purchasing procedures? If not, briefly describe

how purchasing activities are handled.

2. Does the purchasing policy/procedure consider such matters as quality, cost, delivery, competition, source selection, etc.?
3. Has the responsibility for purchasing been assigned to one department, section, or individual within the organization? If not, explain.
4. Is the purchasing function separate from accounting and receiving?
5. Are competitive bids obtained for items such as rentals or service agreements over certain amounts?
6. Are purchase orders required for purchasing all equipment and services?
7. Is control maintained over items or dollar amounts requiring the contracting or grants management officer's advance approval? Describe controlling factors.
8. Is the accounting department notified promptly of purchased goods returned to vendors?
9. Is there an adequate system for the recording and checking of partial deliveries and checking deliveries against purchase orders?
10. When only a partial order is received, is the project account credited for the undelivered portion of the purchase order?
11. Are the vendor invoices checked for:
    a. Prices and credit terms?
    b. Extensions?
    c. Errors and omissions?
    d. Freight charges and disallowances?
12. Are vouchers, supporting documents, expenses, or other distributions reviewed and cleared by designated staff before payment is authorized?

**I. Travel**

1. Does the organization have formal travel policies or consistently followed procedures which, at a minimum, state that:
    a. Travel charges are reimbursed based on actual costs incurred or by use of per diem and/or mileage rates?
    b. Receipts for lodging and meals are required when reimbursement is based on actual cost incurred?
    c. Per Diem rates include reasonable dollar limitations? Subsistence and lodging rates are comparable to current Federal per diem and mileage rates?
    d. Commercial transportation costs are incurred at coach fares unless adequately justified? Travel requests are approved prior to actual travel?
    e. Travel expense reports show purpose of trip?

## J. Internal Controls

1. Is there a separation of responsibility in the receipt, payment, and recording of cash?
    a. For example: Are the duties of the record keeper or bookkeeper separated from any cash functions such as the receipt or payment of cash?
    b. Or, is the signing of checks limited to those designated officials whose duties exclude posting and/or recording cash received, approving vouchers for payment, and payroll preparation?
2. Are all checks approved by an authorized official before they are signed?
3. Are all accounting entries supported by appropriate documentation (e.g., purchase orders, vouchers, vendor payments)?
4. Does the organization have an internal auditor or internal audit staff?
5. Is there a petty cash fund where responsibility is vested in one individual; limited to a reasonable amount; restricted as to purchase; and counted, verified, and balanced by an independent employee at time of reimbursement?
6. Are all checks pre-numbered and accounted for when general purpose bank account is reconciled?
7. If a mechanical or facsimile signature is used for cash disbursements, is the signature plate, die, key, electronic card, etc., under strict control?
8. Are bank accounts reconciled by persons not handling cash in the organization?
9. Are all employees who handle funds required to be bonded against loss by reason of fraud or dishonesty?

## Appendix E. Review and Selection Process

The review and selection process will include the following:

i. Applications will be screened to determine eligibility for further review using the criteria detailed in Section C. Eligibility Information, and Section D. Application and Submission Information (with cross-reference to Appendix B), of this FOA. Applications that are received late or fail to meet the eligibility requirements as detailed in this FOA or do not include the required forms will not be reviewed. However, the CMS/OAGM/GMO, is his or her sole discretion, may continue the review process for an ineligible application if it is in the best interest of the government to meet the objectives of the program.

ii. Procedures for assessing the technical merit of grant applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. The Review criteria described in Section E1. Criteria, will be used. Applications will be evaluated by an objective review committee. The objective review committee may include Federal and/or non-Federal reviewers. Applicants should pay strict attention to addressing all these criteria, as they are the basis upon which the reviewers will evaluate their applications.

iii. The results of the objective review of the applications by qualified experts will be used to advise the CMS approving official. Final award decisions will be made by a CMS approving official. In making these decisions, the CMS approving official will take into consideration: recommendations of the review panel; the readiness of the applicant to conduct the work required; the scope of overall projected impact on the aims; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

iv. As noted in 45 CFR Part 75, CMS will do a review of risks posed by applicants prior to award. In evaluating risks posed by applicants, CMS will consider the below factors as part of the risk assessment (applicant should review the factors in their entirety at §75.205)

    a. Financial stability;

    b. Quality of management systems and ability to meet the management standards prescribed;

    c. History of performance (including, for prior recipients of Federal awards: timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous federal awards, extent to which previously awarded amounts will be expended prior to

future awards);

d. Reports and findings from audits performed under Subpart F of 45 CFR Part 75 and

e. Applicant's ability to effectively implement statutory, regulatory, and other requirements imposed on non-federal entities.

v. HHS reserves the right to conduct pre-award Negotiations with potential awardees.

**Appendix F.** 508 Compliance, Accessibility Provisions

CMS and its grantees are responsible for complying with federal laws regarding accessibility as noted in the Award Administration Information/Administration and National Policy Requirements Section.

The grantee may receive a request from a beneficiary or member of the public for materials in accessible formats. All successful applicants under this announcement must comply with the following reporting and review activities regarding accessible format requests:

Accessibility Requirements:

1. Public Notification: If you have a public facing website, you shall post a message no later than **30** business days after award that notifies your customers of their right to receive an accessible format. Sample language may be found at: https://www.medicare.gov/about-us/nondiscrimination/nondiscrimination-notice.html. Your notice shall be crafted applicable to your program.

2. Processing Requests Made by Individuals with Disabilities:
    a. Documents:
        i. When receiving a request for information in an alternate format (e.g., Braille, Large print, etc.) from a beneficiary or member of the public, you must:
            1. Consider/evaluate the request according to civil rights laws.
            2. Acknowledge receipt of the request and explain your process within **2** business days.
            3. Establish a mechanism to provide the request.
        ii. If you are unable to fulfill an accessible format request, CMS may work with you in an effort to provide the accessible format. You shall refer the request to CMS within **3** business days if unable to provide the request. You shall submit the request, using encrypted e-mail (to safeguard any personally identifiable information), to the AltFormatRequest@cms.hhs.gov mailbox with the following information:
            1. The e-mail title shall read "Grantee (Organization) Alternate Format Document Request."
            2. The body of the e–mail shall include:
                a. Requester's name, phone number, e-mail, and mailing address.
                b. The type of accessible format requested, e.g., audio

recording on compact disc (CD), written document in Braille, written document in large print, document in a format that is read by qualified readers, etc.

c. Contact information for the person submitting the e-mail – Organization (Grantee), name, phone number and e-mail.
d. The document that needs to be put into an accessible format shall be attached to the e-mail.
e. CMS may respond to the request and provide the information directly to the requester.

iii. The Grantee shall maintain record of all alternate format requests received including the requestor's name, contact information, date of request, document requested, format requested, date of acknowledgment, date request provided, and date referred to CMS if applicable. Forward quarterly records to the AltFormatRequest@cms.hhs.gov mailbox.

b. Services

i. When receiving request for an accessibility service (e.g., sign language interpreter) from a beneficiary or member of the public, you must:
   1. Consider/evaluate the request according to civil rights laws.
   2. Acknowledge receipt of the request and explain your process within **2** business days.
   3. Establish a mechanism to provide the request.

ii. If you are unable to fulfill an accessible service request, CMS may work with you in an effort to provide the accessible service. You shall refer the request to CMS within **3** business days if unable to provide the service. You shall submit the request, using encrypted e-mail (to safeguard any personally identifiable information), to the AltFormatRequest@cms.hhs.gov mailbox with the following information:
   1. The e-mail title shall read "Grantee (Organization) Accessible Service Request."
   2. The body of the e–mail shall include:
      a. Requester's name, phone number, e-mail, and mailing address.
      b. The type of service requested (e.g., sign

language interpreter and the type of sign language needed).

c. The date, time, address and duration of the needed service.
d. A description of the venue for which the service is needed (e.g., public education seminar, one-on-one interview, etc.)
e. Contact information for the person submitting the e-mail – Organization (Grantee), name, phone number and e-mail.
f. Any applicable documents shall be attached to the e-mail.
g. CMS will respond to the request and respond directly to the requester.

iii. The Grantee shall maintain record of all accessible service requests received including the requestor's name, contact information, date of request, service requested, date of acknowledgment, date service provided, and date referred to CMS if applicable. Forward quarterly records to the AltFormatRequest@cms.hhs.gov mailbox.

3. Processing Requests Made by Individuals with Limited English Proficiency (LEP):
    a. Documents:
        i. When receiving a request for information in a language other than English from a beneficiary or member of the public, you must:
            1. Consider/evaluate the request according to civil rights laws.
            2. Acknowledge receipt of the request and explain your process within **2** business days.
            3. Establish a mechanism to provide the request as applicable.
        ii. If you are unable to fulfill an alternate language format request, CMS may work with you in an effort to provide the alternate language format as funding and resources allow. You shall refer the request to CMS within **3** business days if unable to provide the request. You shall submit the request, using encrypted e-mail (to safeguard any personally identifiable information), to the AltFormatRequest@cms.hhs.gov mailbox with the following information:

1. The e-mail title shall read “Grantee (Organization) Alternate Language Document Request.”
2. The body of the e–mail shall include:
    a. Requester’s name, phone number, e-mail, and mailing address.
    b. The language requested.
    c. Contact information for the person submitting the e-mail – Organization (Grantee), name, phone number and e-mail.
    d. The document that needs to be translated shall be attached to the e-mail.
    e. CMS may respond to the request and provide the information directly to the requester.

iii. The Grantee shall maintain record of all alternate language requests received including the requestor’s name, contact information, date of request, document requested, language requested, date of acknowledgment, date request provided, and date referred to CMS if applicable. Forward quarterly records to the AltFormatRequest@cms.hhs.gov mailbox.

b. Services

i. When receiving request for an alternate language service (e.g., oral language interpreter) from a beneficiary or member of the public, you must:
    1. Consider/evaluate the request according to civil rights laws.
    2. Acknowledge receipt of the request and explain your process within **2** business days.
    3. Establish a mechanism to provide the request as applicable.

ii. If you are unable to fulfill an alternate language service request, CMS may work with you in an effort to provide the alternate language service as funding and resources allow. You shall refer the request to CMS within **3** business days if unable to provide the service. You shall submit the request, using encrypted e-mail (to safeguard any personally identifiable information), to the AltFormatRequest@cms.hhs.gov mailbox with the following information:
    1. The e-mail title shall read “Grantee (Organization) Accessible Service Request.”
    2. The body of the e–mail shall include:

a. Requester's name, phone number, e-mail, and mailing address.
b. The language requested.
c. The date, time, address and duration of the needed service.
d. A description of the venue for which the service is needed (e.g., public education seminar, one-on-one interview, etc.)
e. Contact information for the person submitting the e-mail – Organization (Grantee), name, phone number and e-mail.
f. Any applicable documents shall be attached to the e-mail.
g. CMS will respond to the request and respond directly to the requester.

iii. The Grantee shall maintain record of all alternate language service requests received including the requestor's name, contact information, date of request, language requested, service requested, date of acknowledgment, date service provided, and date referred to CMS if applicable. Forward quarterly records to the AltFormatRequest@cms.hhs.gov mailbox.

Please contact the CMS Office of Equal Opportunity and Civil Rights for more information about accessibility reporting obligations at AltFormatRequest@cms.hhs.gov.