



**U.S. Department of Health and Human Services  
Office of the Assistant Secretary for Preparedness and Response  
Office of External Affairs**

**Funding Opportunity Announcement  
and Grant Application Instructions**

**Funding Opportunity Title:**

**ENHANCED EFFORTS TO STRENGTHEN THE NATION'S HEALTHCARE AND  
PUBLIC HEALTH PREPAREDNESS, RESPONSE, AND RECOVERY TO DISASTERS  
AND OTHER EMERGENCIES  
(CFDA # 93.078)**

**Funding Opportunity Number: EP-HIT-21-004**

**Dates: All applications must be submitted by: September 22, 2021**

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## I. FUNDING OPPORTUNITY DESCRIPTION

### Executive Summary and Background

#### Government agency

The Office of the Assistant Secretary for Preparedness and Response (ASPR) is a staff division of the Office of the Secretary of the U.S. Department of Health and Human Services (HHS). ASPR leads the nation's efforts to prevent, protect against, mitigate, respond to, and recover from the adverse health effects of public health incidents. ASPR focuses on preparedness planning, and response; federal emergency medical operational capabilities; countermeasures research, advance development, and procurement; and grants to strengthen the capabilities of hospitals and health care systems in public health emergencies and medical disasters.

On December 19, 2006, President George W. Bush signed the Pandemic and All Hazards Preparedness Act (PAHPA). PAHPA had broad implications for HHS' preparedness and response activities. Among other things, PAHPA amended the Public Health Service Act to establish an Assistant Secretary for Preparedness and Response position in HHS; provided new authorities for a number of programs, including the advanced research and development of medical countermeasures; and called for the establishment of a quadrennial *National Health Security Strategy* (42 U.S.C. 300hh-1). President Barack Obama signed the Pandemic and All Hazards Preparedness Reauthorization Act (PAHPRA) in March 2013; it reauthorizes appropriations for certain programs and further amended the Public Health Service Act. President Donald Trump signed the Pandemic and All Hazards Preparedness and Advancing Innovation Act (PAHPAIA) on June 24, 2019; further reauthorizing appropriations for certain programs and further amended the Public Health Service Act.

Throughout the COVID-19 response, ASPR discovered a variety of areas and lessons learned where it needs to strengthen and enhance its relationships to be able to leverage public health and healthcare partners to support timely and informed decision making and meet the need of an "all of nation" response to the current pandemic and future emergency incidents. Key areas include capabilities to:

- o enhance domestic and international disease surveillance technology;
- o continual assessment of ongoing response impacts, gaps, and the assessment of immediate and future resource needs (e.g., human, financial, material);
- o quick access to the nation's public health and healthcare frontline to convey timely and accurate information; and
- o sharing of established and implemented best practices from the field.

ASPR has identified issues the organization will approach to contribute to national health security and preparedness, including prioritization of stakeholder engagement and coordination. Cooperative Agreement(s) with public health, healthcare, and emergency management partners subsequent to this funding opportunity will further the actions to accomplish strategic activities and priorities of ASPR. After making the awards, ASPR will work with awardees to establish a final work plan. The work plan will detail the activities, projects, written products, that the awardee will develop under the cooperative agreements to further its objectives. The work plans will also specify milestones and timelines for completing activities under these cooperative agreements. ASPR will work with the awardees to determine an appropriate meeting schedule to review progress on the work plans and to identify priorities. The meeting schedule may include

regular check-in meetings with ASPR to discuss progress on activities and towards milestones, identify issues that ASPR can assist with, and identify any barriers to carrying out these cooperative agreements that need to be overcome. ASPR will also advise the awardees on ASPR's policies and goals as an agency and provide guidance on how the activities under the cooperative agreements can support these aims. In addition, ASPR will advise the awardees on issues related to prioritization of activities under these cooperative agreements.

**Statutory Authority Public Health Service Act, Section 1703 (a), 42 U.S.C. Section 300u-2 (a).**

## **Purpose**

ASPR requires collaboration with public health and healthcare sectors and emergency management services to ensure local governments, communities, private sector entities, non-governmental organizations, academia, and individuals can optimally coordinate their respective national health security roles and responsibilities to achieve community health resilience and strengthen health care, public health, and emergency management systems in preparation of, response to, and recovery from disasters and other emergencies.

## **Implementation**

Applicants must address all activities and strategies listed below in their application.

## **Evaluation and Performance Measurement Proposed Goals, Objectives and Activities:**

**Goal:** Improved collaboration between ASPR, public health and healthcare sectors, and emergency management services to enhance national health security, foster community health resilience, and strengthen healthcare delivery, public health, and healthcare preparedness and emergency response.

### **Objective 1: Foster community health resilience**

One of the overarching goals of both the National Health Security Strategy (NHSS) and the ASPR organization is to build community health resilience. ASPR seeks to partner with emergency management services, public health, and healthcare entities and their partners who play a critical role in building community health resilience by employing and evaluating localized public health, healthcare, and emergency management strategies, such as preparing local communities to withstand and recover from emergencies and disasters, and engaging governmental and nongovernmental organizations in building coalitions and partnerships at all levels. The project will foster better approaches to building community health resilience. Some activities that support this objective may include:

- Assisting local health departments and healthcare organizations to improve their local infrastructure to support local and regional coalition building to strengthen and enhance public health and healthcare preparedness, response, and recovery.
- Identify effective strategies, promising practices, and lessons learned to improve health resilience and/or public health, health care coalitions and systems, and emergency management systems through research and analysis, literature reviews, interviews, canvassing membership, and other methods. Written products or other modes of communications may be developed as a mechanism to document and share these findings.

**Objective 2: Engage public health, healthcare, and emergency management representatives in a dialogue on national health security and regionalized approaches to strengthening preparedness for, response to, and recovery from disasters and other emergencies.**

Public health, healthcare, and emergency management professionals are intimately familiar with the communities and populations they serve and are essential partners in carrying out the mission of ASPR and the federal government in strengthening the nation's preparedness for, response to, and recovery disasters and other emergencies.. ASPR seeks to engage these stakeholder communities, as well as other appropriate partners in bi-directional communications to evaluate the effectiveness of, and ensure that, ASPR's strategies, policies, and programmatic activities are informed by and support the disaster needs of the nation. The project will foster collaboration with public health, healthcare, and emergency management organizations to achieve, for example, national health security and strengthen local and regional emergency preparedness, response, and recovery systems and capabilities, and build well-functioning coalitions and partnerships, among other activities. Some activities that support this objective may include:

- Develop, disseminate and amplify through newsletters, websites, and other communication portals relevant disaster preparedness, response, and recovery information with public health, healthcare, and emergency management professionals. This activity may also include ASPR participation in awardee-sponsored webinars and other events.
- Create opportunities for awardee members and stakeholders to inform and provide feedback on federal policy issues, documents and federally-sponsored initiatives.

**Objective 3: Promote lessons learned and promising practices from the COVID-19 pandemic and other disasters and emergencies.**

ASPR seeks to collaborate with public health, healthcare, emergency management, and other partner organizations who prepare for, respond to, and recover from disasters and other emergencies to identify valuable lessons learned and promising practices that can be shared broadly in the public health, healthcare, and emergency management communities. Some activities that support this objective may include:

- Identification of issue areas and potential recommendations for addressing from established awardee advisory groups and/or committees;
- Facilitating information collection and dissemination from awardee member community to ASPR staff and leadership;
- Coordination with awardee member and stakeholder community to work collaboratively with ASPR to determine topics, issues, and challenges to address through collaborative efforts and initiatives; and
- Promote, manage and assist ASPR in facilitating regular engagements with awardee stakeholders and members.

## **Objective 4: Provide technical assistance to Public Health, Healthcare, and Emergency Management Communities**

ASPR, in conjunction with HHS and other Federal partners has a broad spectrum of resources, tools, and expertise to enable training, preparedness coordination, and emergency response at the regional, state, and local levels. Awardee member and stakeholder communities will have the opportunity to collaborate with ASPR to identify mechanisms for receiving federal technical assistance that can:

- Inform capabilities to prepare for public health emergencies;
- enhance healthcare system and public health planning;
- enhance local-level response and integration with emergency management and public health; and
- Increase regional, state, tribal and territorial collaboration through engagement and coordination.

### **Additional Requirements**

Meet (virtual or in-person) with the project officer and relevant ASPR staff to hold a kick-off meeting to occur within ten working days after the award date to discuss the work plan, overall approach and timeline, status, and prioritize action items. The revised work plan will be delivered in writing for project officer approval within 20 working days after the award.

Meet quarterly (virtual or in-person) with the project officer and other ASPR staff to discuss the relevant context and specific details necessary for successful outputs— analysis, activities and products. Staff members from other ASPR divisions may participate in some meetings. The frequency of these meetings may be changed by ASPR as necessary.

Prepare and submit quarterly reports to comprise of: work progress relative to the work plan, barriers to work completion, major staffing changes, and a schedule of upcoming outreach opportunities. The quarterly progress report shall be delivered to the project officer in electronic format through GrantSolutions within 20 days after the end of the last month in the quarter being reported.

Provide a final report at the performance period's conclusion. A final report shall include a summary of the awardee's activities, major completed activities, and recommendations to improve the work process based on the awardee's experience. All deliverables will be 508 compliant for accessibility. For more information, please see 508 Compliance at <https://www.section508.gov/>.

## Eligibility and Funding Strategy

A review panel will review all applications received.

Total availability of funds: Up to \$20 million USD

Approximate number of awards given: Up to Seven

Approximate award: Up to \$4,000,000 USD (across all awards) subject to the availability of funds

## ASPR Activities

ASPR will host an informational conference call for all interested applicants on **September 9, 2021** at **3:00pm ET**. Interested individuals can [register for this opportunity online](#).

ASPR will outline the projects for completion each year and work with awardee(s) to ensure execution. ASPR assigned project officer(s) will oversee the cooperative agreement(s).

## II. AWARD INFORMATION

<b>FOA Title</b>	Enhanced Efforts to Strengthen the Nation's Healthcare and Public Health Preparedness, Response, and Recovery to Disasters and Other Emergencies
<b>Type of Award:</b>	Cooperative Agreement
<b>Fiscal Year Funds:</b>	Fiscal Year 2021
<b>Approximate Total Funding:</b>	up to \$20 million USD <i>This amount is subject to availability of funds. Includes direct and indirect costs.</i>
<b>Approximate Number of Awards:</b>	Up to Seven
<b>Approximate Average Award:</b>	up to \$4,000,000 USD annually subject to funds availability
<b>Floor of Individual Award Range:</b>	\$25,000 USD annually
<b>Ceiling of Individual Award Range:</b>	\$4,000,000 USD
<b>Anticipated Award Date:</b>	September 30, 2021
<b>Budget Period Length:</b>	September 30, 2021 through September 29, 2022

**Project Period Length:**

September 30, 2021 through  
September 29, 2026

### **III. ELIGIBILITY INFORMATION**

#### **Eligible Applicants**

Eligibility is open to U.S. organizations. National profit and non-profit organizations and associations capable of improving collaboration between ASPR and stakeholders across healthcare delivery, public health, and emergency management to enhance national health security, foster community health resilience, and strengthen health care, public health, and emergency management systems are eligible to apply to this funding opportunity.

#### **Cost Sharing/Match and/or Maintenance of Effort/Funding**

There is no cost sharing or match requirement for this project. Maintenance of effort/funding is not required for this program.

### **IV. APPLICATION AND SUBMISSION INFORMATION**

#### **Address to Request Application Package**

Application materials can be obtained from <http://www.grants.gov>.

Contact person regarding this FOA is:

Cicely Waters  
[ASPRStakeholder@hhs.gov](mailto:ASPRStakeholder@hhs.gov)

Applicants must download the application package associated with this funding opportunity from <http://www.grants.gov>. If the applicant encounters technical difficulties with grants.gov, the applicant should contact grants.gov customer service. The grants.gov contact center is available 24 hours a day, seven days a week, with the exception of all federal holidays. The contact center provides customer service to the applicant community. The extended hours will provide applicants with support around the clock, ensuring the best possible customer service is received any time it is needed. You can reach the grants.gov support center at 1-800-518-4726 or by email at [support@grants.gov](mailto:support@grants.gov). Submissions sent by email, fax, CDs, or thumb drives of applications will not be accepted.

Applicants are encouraged to submit their application prior to the due date.



## Required Registrations

### Central Contractor Registration and Data Universal Numbering System Requirements

Except for those entities exempt from requirements listed at 2 CFR §25.110(b) or (c) (individuals), effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from recipients of those grant funds to:

- Be registered in the Central Contractor Registration (CCR) prior to submitting an application of plan;
- Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV/STAFFDIV; and
- Provide its Dun and Bradstreet Data Universal Numbering System (DUNS) number in each application or plan it submits to the OPDIV/STAFFDIV.

An award cannot be made until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the OPDIV/STAFFDIV:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier subaward recipients (e.g., direct subrecipient) must have a DUNS number at the time the subaward is made.

Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the federal government. ASPR applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet website at <http://www.dnb.com/get-a-duns-number.html> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a federal grant application. In addition, you must be registered in the System for Award Management (SAM). Registration in the SAM is mandatory. Failure to register with SAM will lead to an application being deemed ineligible and will not proceed to peer review. Due to the possibility of heavy traffic at the sam.gov website, applicants are strongly encouraged to register well in advance of the application due date. SAM information must be updated at least every 12 months to remain active (for both recipients and sub-recipients). Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. Grants.gov will reject submissions from applicants who are not registered in SAM or those with expired SAM registrations (Entity Registrations). The DUNS number you use on your application must be registered and active in SAM for the anticipated start date of the award. To create a user account, Register/Update an entity and/or Search Records go to SAM, at <http://www.sam.gov> or by phone at 1-877-252-2700.

Grants.gov registration – All entities must register and/or renew registration with grants.gov prior to submitting an application. Grantees previously registered must assure that the registration is still valid and up-to-date. Registration and re-registration take up to 10 working days to process. Failure to submit the application on time due to late registration will result in ASPR not accepting the application.

### **Application Screening Criteria**

Applications must be submitted electronically via <http://www.grants.gov> by September 22, 2021 at 11:59 p.m. Eastern Standard Time (EST).

### **Content and Form of Application Submission**

The following required documents and sections must be included in the application package to be considered for funding. Please note, applicants must submit a discrete project abstract and project narrative for each project for which they are applying. Please also ensure that the budget request associated with various activities is clearly delineated.

#### Cover Letter (optional)

Cover letters should be addressed to the following:

Virginia Simmons  
Chief Grants Management Officer  
Office of Resource Management  
Office of the Assistant Secretary for Preparedness and Response  
U.S. Department of Health and Human Services  
200 Independence Ave. S.W.  
Washington, DC 20201  
Telephone: (202) 260-0400  
E- mail: [asprgrants@hhs.gov](mailto:asprgrants@hhs.gov)

#### Project Abstract

A project abstract must be completed in the grants.gov application forms. The project abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. This abstract must not include any proprietary or confidential information.

#### Project Narrative

A project narrative must be submitted with the application forms. The project narrative must be uploaded in a PDF file format when submitting via grants.gov. The narrative should address activities to be conducted over the entire project period, with a more detailed work plan for the first year (when applicable). Each of these project narratives should be succinct, self-explanatory, and in the order outlined in this section.

The narrative must be submitted in the following format:

The project narrative must be double-spaced, on 8 ½” x 11” paper with 1” margins on both sides, and a font size of not less than 11. You may use smaller font sizes to fill in the Standard Forms and Sample Formats. Forms do not need to be double-spaced.

The components of the project narrative counted as part of the 100-page limit include:

- Background
- Current capacity
- Approach and work plan
- Administrative preparedness plan execution
- Budget narrative and justification
- Performance measurement and evaluation strategy

Any other relevant additional information that does not count toward the 100-page limit including:

- Curricula vitae for key project personnel
- Letters of commitment
- Copy of the applicant’s most recent indirect cost agreement, if requesting indirect costs
- Other documents, as needed

The project narrative is the most important part of the application, since it is the primary basis on which ASPR determines whether or not a project meets the minimum requirements for grants under Public Health Service Act, Section 1703(a) (42 U.S.C. 300u-2). The project narrative should provide a clear and concise description of the project. The following is a brief description of each required component:

#### *Background*

Applicants must describe the core background information relative to the specific objective. The core background information must help reviewers understand how the applicant's response to the FOA will address collaboration with local health departments, healthcare delivery stakeholders, and officials to ensure local governments, communities, private sector entities, non-governmental organizations, academia, and individuals can optimally coordinate their respective national health security roles and responsibilities to achieve community health resilience and strengthen health care, public health, and emergency management systems.

#### *Current Capacity*

For each part applied for, address the applicant's current capacity to successfully implement the proposed project and associated activities, including describing staff and other infrastructure already in place in which to build upon, to meet project period outcomes.

#### *Approach and Work Plan*

Applicants must clearly identify the outcomes they expect to achieve by the end of the project period and provide a clear and concise description of the strategies and activities they used to achieve the project’s outcomes. Briefly introduce the activity(ies) being proposed

and describe what the expected outputs (e.g., milestones) will be over the first 12 months of the project and a higher-level description for each subsequent year.

#### *Administrative Preparedness Plan Execution*

Applicants must clearly identify their administrative preparedness plan and its execution within their organization.

#### *Budget Narrative and Justification*

A detailed budget with supporting justification must be provided and be related to recipient activities that are stated in awardees' work plans. Awardees must note the following budget-related issues:

- If indirect costs are requested, it will be necessary to include a copy of the organization's current negotiated Federal Indirect Cost Rate Agreement or a Cost Allocation Plan for those awardees under such a plan.
- Travel for program implementation should be justified and related to implementation activities.
- Budgets that include costs for equipment (e.g., laboratory or waste management equipment) must be detailed in the budget narrative and justification.

The budget narrative or justification should be provided using the instructions included in Attachment A (Instructions for Completing Required Forms) of this FOA. Applicants are encouraged to pay particular attention to Attachment B (Budget Narrative/Justification Sample Format), which provides an example of the level of detail sought.

#### *Performance Measurement and Evaluation Strategy*

Awardees will be required to report on a small set of ASPR-defined performance measures that will demonstrate, or show progress toward, the accomplishment of program outcomes.

As part of this application, awardees should describe in a brief narrative a plan to affirm and acknowledge the awardee's ability to collect and respond to required ASPR-defined performance measures. For example, awardees may describe who will be monitoring and responding to required performance measures, potential data sources, and anticipated barriers and challenges and how this will be resolved. Awardees may also describe how evaluation data will be shared with key stakeholders and used by the awardee to improve program quality and demonstrate the value of this funding.

#### *Additional Information*

Additional information may be included in the application appendices. The appendices must be uploaded to the "Other Attachments Form" of application package in grants.gov. Note: appendices will not be counted toward the narrative page limit.

## **Submission Deadline Dates and Times**

The deadline for the submission of applications under this FOA is September 22, 2021 at 11:59 p.m. EST. Applications must be submitted electronically via <http://www.grants.gov/> by 11:59 p.m. EST on September 22, 2021. Applications that are submitted after the deadlines will not be processed.

## **Intergovernmental Review**

This FOA is not subject to the requirements of Executive Order 12372, “Intergovernmental Review of Federal Programs.”

## **Funding Restrictions**

Restrictions, which must be taken into account while writing the budget, are as follows:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care.
- Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.
- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.
- Recipients may not use funds to carry out any program of distributing sterile needles or syringes for hypodermic injections of any illegal drug.
- Recipients may not use funds to advocate or promote gun control.
- Salaries may not exceed the rate of \$199,300 USD per year: the Consolidated and Further Continuing Appropriations Act, 2021 (P.L. 114-113) limits the salary amount that you may be awarded and charge to HHS/ASPR grants and cooperative agreements. Award funds should not be budgeted to pay the salary of an individual at a rate in excess of Executive Level II. Currently, the Executive Level II salary of the Federal Executive Pay scale is \$199,300. This amount reflects an individual’s base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to subawards/subcontracts under an HHS/ASPR grant or cooperative agreement.
- Recipients may not use funds for lobbying activities: Pursuant to the Consolidated and Further Continuing Appropriations Act, 2021 (P.L.114-113), (a) you shall not use any funds from an award made under this announcement for other than normal and recognized executive legislative relationships. You shall not use funds for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself. (b) You shall not use any funds from an award made under this announcement to pay the salary or expenses of any employee or subrecipient, or agent

acting for you, related to any activity designed to influence the enactment of legislation, appropriations, regulations, administrative action, or Executive order proposed or pending before the Congress or any state government, state legislature or local legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local or tribal government in policymaking and administrative processes within the executive branch of that government. (c) The above prohibitions include any activity to advocate or promote any proposed, pending, or future federal, state or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

- Recipients may not use funds for fund raising.
- Recipients may not use funds for the cost of money even if part of the negotiated indirect cost rate agreement.
- Recipients may not use funds for vehicles.
- Recipients may not use funds for salaries for back filling of personnel.
- Recipients may not use funds for antibiotics for treatment of secondary infections.

## **V. APPLICATION REVIEW INFORMATION**

### **ENHANCED PUBLIC HEALTH DELIVERY, PREPAREDNESS, AND SITUATIONAL AWARENESS FOR NATIONAL HEALTH PREPAREDNESS AND SECURITY**

As discussed before, the goal of this FOA is for improved collaboration between ASPR and healthcare delivery associations and organizations to enhance national health security, foster community health resilience, and strengthen health care, public health, and emergency management systems. Eligible applicants will be evaluated against the following review criteria:

#### **The following scoring system will be used:**

1. Organizational capacity – 20 points;
2. Approach, Work plan, and Budget Allocation – 40 points;
3. Project Relevance and Evaluation, and Impact of Project Outcomes – 40 points;

#### **\*\*Organizational Capacity\*\***

- i. Does the applicant organization clearly identify its capacity for carrying out the proposed project and evaluation? (5 points)
- ii. Do the proposed project director, key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? (5 points)
- iii. Does the proposed project clearly and adequately identify the relevance of the priority areas, as described in this Funding Opportunity Announcement, in relation to current needs? (5 points)

iv. Does the application adequately and appropriately describe and document the key problem/condition(s) relevant to the applicant's purpose/need? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (5 points)

**\*\*Approach\*\***

Does the proposed intervention and activities relate to the goals and objectives of the proposed project? (15 points)

**\*\*Work Plan \*\***

Is the project Work Plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the Work Plan include specific objectives, tasks and deliverables that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carry out the project? (15 points)

**\*\*Budget\*\***

i. Is the Budget justified with respect to the adequacy and reasonableness of resources requested? (10 points)

ii. Are Budget line items clearly delineated and consistent with Work Plan objectives? (10 points)

**\*\*Project Relevance and Evaluation\*\***

Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcomes? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture "lessons learned" from the previous overall effort that might be of use to others in the field of preparedness, especially those who might be interested in replicating the project? (15 points)

**\*\*Project Impact\*\***

i. Are the expected project benefits/results clear, realistic, and consistent with the objectives, purpose of the project, and intended public health impact? Is the anticipated outcome of the proposed project likely achieved and will it significantly benefit U.S. healthcare delivery and public health preparedness as a whole? (15 points)

ii. Is there a realistic plan to try to secure resources to develop and publish a thematic issue after federal planning financial assistance has ended? (10 points)

## **Post-Award Requirements**

Please note, after the awardee is chosen, they will be required to submit a detailed work plan that explains exactly how they will achieve their commitments. In order to expedite the funding process, the award itself will be based on largely the applicant's commitment to enhancing public health delivery, preparedness, emergency management, and situational awareness.

## **Review and Selection Process**

An objective review panel will evaluate applications that pass the screening criteria. The review panel will be comprised of reviewers who are experts in their field and drawn from federal government agencies. Based on the application review criteria, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

Final award decisions will be made by ASPR. In making these decisions, ASPR will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

## **VI: AWARD ADMINISTRATION INFORMATION**

### **Award Notices**

The Notice of Award is the authorizing document from the ASPR authorizing official, the Office of Resource Management and the ASPR Office of Management Finance and Human Capital. The Notice of Award will be sent electronically upon successful review of the application. The Notice of Award sets forth the amount of funds granted, the terms and conditions of the award, the effective date of the award, the budget period for which initial support will be given, the non-federal share to be provided (if applicable), and the total project period for which support is contemplated.

Each applicant will receive written notification of the outcome of the objective review process, including a summary of the review panel's assessment of the application's strengths and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance.

### **Administrative and National Policy Requirements**

The award is subject to OMB 2 CFR Part 200 (subparts A through D), HHS Administrative Requirements, which can be found in 45 CFR 75 and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement (GPS) located at <http://www.hhs.gov/grants/grants/grants-policies-regulations/index.html>



Please note HHS plans to revise the HHS GPS to reflect changes to the regulations; 45 CFR parts 74 and 92 have been superseded by 45 CFR Part 75.

### Non-Discrimination Requirements

Pursuant to federal civil rights laws, if you receive an award under this announcement you must not discriminate on the basis of race, color, national origin, disability, age, and in some cases sex and religion. The HHS Office for Civil Rights provides guidance to grantees in complying with civil rights laws that prohibit discrimination.

<http://www.hhs.gov/ocr/civilrights/understanding/index.html>. HHS provides guidance to recipients of federal financial assistance on meeting the legal obligation to take reasonable steps to provide meaningful access to persons with limited English proficiency. See *Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, 68 Fed. Reg. 47311, 47313 (HHS Office for Civil Rights, 2003, <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/guidance-federal-financial-assistance-recipients-title-VI/>). You must ensure your contractors and sub recipients comply with federal civil rights laws.

### Smoke- and Tobacco-free Workplace

The HHS/ASPR strongly encourages all grant recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. This is consistent with the HHS/ASPR mission to protect and advance the physical and mental health of the American people.

### **ASPR Public Access Policy**

The [ASPR Public Access Policy](#) requires all researchers receiving ASPR grants, cooperative agreements, or fixed amount awards to develop data management plans describing how they will provide for the long-term preservation of, and access to, scientific data in digital format. This ASPR Public Access Policy applies to any manuscript that is peer-reviewed and arises from any direct funding from an ASPR grant, cooperative agreement or fixed amount award awarded in FY22 or beyond. This policy ensures that the public has access to the published results of ASPR funded grants, cooperative and fixed amount awards at the NIH NLM PubMed Central (PMC), a free digital archive of full-text biomedical and life sciences journal literature (<http://www.pubmedcentral.nih.gov/>). Under the policy ASPR-funded investigators are required by Federal law to submit (or have submitted for them) to PMC an electronic version of the final, peer-reviewed manuscript upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. On February 22, 2013, the White House Office of Science and Technology Policy (OSTP) released the memorandum entitled, *Increasing Access to the Results of Federally Funded Scientific Research*, which requires federal agencies to make the results of federally funded scientific research available to and useful for the public, industry, and the scientific community. This document establishes a governing policy to enable public access to digitally formatted scientific data created with federal funds.

### **Publications**

Manuscripts resulting from funded work must be submitted directly to the NIH Manuscript Submission System (NIHMS) <http://www.nihms.nih.gov/>. At the time of submission, the

submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Authors may own the original copyrights to materials they write and should work with the prospective publisher as necessary before any rights are transferred to ensure that all conditions of the ASPR Public Access Policy can be met. Authors should avoid signing any agreements with publishers that do not allow the author to comply with the ASPR Public Access Policy. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication arising from funds awarded in or after FY22, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Institutions and investigators are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this policy. Applicants citing articles in ASPR applications, proposals, and progress reports that fall under the policy, were authored or co-authored by the applicant and arose from ASPR support must include the PMCID or NIHMS ID. The NIHMSID may be used to indicate compliance with the ASPR's Public Access Policy in applications and progress reports for up to three months after a paper is published. After that period, a PMCID must be provided to demonstrate compliance.

### ***Digital Data***

ASPR-supported researchers must publish digital scientific data sets resulting from projects meeting the scope criteria above in a recognized scientific data repository capable of long-term preservation of the data and open access to the public within a proscribed time period of 30 months from the creation of the data set (if the data set has not been used in a peer-reviewed publication) or upon publication of a peer-reviewed publication based on the data set, whichever is sooner, unless this requirement has been waived in the approved data management plan. ASPR will recognize intellectual property rights as appropriate, consistent with regulations and program policies, including considerations for intellectual property based on the type of data subject to those policies (e.g., varied embargo dates, conditions for delaying data release). For the purpose of this plan, proprietary interests include receiving appropriate credit for scientific work. If the outcomes of the research result in inventions, the provisions of the Bayh-Dole Act of 1980, as implemented in 37 CFR Part 401, apply.

### ***Acknowledgement***

ASPR Public Access Policy requires, all grantee publications, including research publications, press releases, and other publications or documents about research that is funded by ASPR must include the following two statements:

A specific acknowledgment of ASPR grant support, such as: *"Research reported in this [publication/press release] was supported by [name of the program office(s), or other ASPR offices] the Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response under award number [specific ASPR grant number(s)]."* A disclaimer that says: *"The content is solely the responsibility of the authors and does not necessarily represent the official views of the Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response."*

## **Trafficking in Persons**

Awards issued under this funding opportunity announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to [http://www.hhs.gov/opa/grants/trafficking\\_in\\_persons\\_award\\_condition.html](http://www.hhs.gov/opa/grants/trafficking_in_persons_award_condition.html). If you are unable to access this link, please contact the Grants Management Specialist identified in this funding opportunity announcement to obtain a copy of the term.

## **Reporting**

Applicants funded under this announcement will be required to electronically submit program progress reports and Federal Financial Report (FFR) SF-425 via GrantSolutions (GS). Awardees will receive instructions for both reports with their Notice of Award. Final performance and financial reports are due 90 days after the end of the project period. For more information, see Standard Terms and Conditions.

**Progress Reporting:** Applicants funded under this announcement will be required to electronically submit via GrantSolutions (GS) program progress reports on a quarterly basis, no later than 15 days after the close of the quarter. As part of the progress report financial information may be required per major category of expense, and by objectives.

**Sub award and Executive Compensation Reporting:** Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at [2CFRPart170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

**Quarterly Cash Transaction Reporting** Recipients must report cash transaction data using the Federal Financial Report (FFR), SF-425. Recipients will utilize the SF-425 lines 10.a through 10.c to report cash transaction data to the Division of Payment Management. The FFRSF-425 (lines 10.a through 10.c) is due to the Payment Management System 30 days after the end of each calendar quarter. The FFR SF-425 electronic submission and dates for the new quarters will be announced through the Payment Management/SmartLink Payment System's bulletin board. Funds will be frozen if the report is not filed on or before the due date.

**Federal Disbursement Reporting:** The SF-425 will also be used for reporting of expenditure data to meet ASPR's financial reporting requirement. All other lines except 10.a through 10.c should be completed and submitted via GrantSolutions.

**Tangible Property Report:** Awardees will be required to submit an annual Tangible Property Report (SF 428) at the time the annual SF 425 is submitted to ASPR. Final SF 428 reports are due 90 days after the end of the project period.

## **Audits**

If your organization receives \$750,000 or greater of Federal funds, it must undergo an independent audit in accordance with 45 CFR part 75, subpart F or regulations and policy effective at the time of the award.

**Other Reporting Requirements:** Throughout the course of the project, the awardee may be asked to submit additional reports as needed.

### **Reporting of Matters Relating to Recipient Integrity and Performance**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds \$10 million for any period of time during the period of performance of this federal award, then you must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII to 45 CFR part 75—Award Term and Condition for Recipient Integrity and Performance Matters. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available. For more information about this reporting requirement related to recipient integrity and performance matters, see Appendix XII to 25 CFR Part 75.

### **Other Required Notifications**

Before you enter into a covered transaction at the primary tier, in accordance with 2 CFR § 180.335, you as the [participant](#) must notify ASPR, if you know that you or any of the principals for that covered transaction:

- (a) Are presently excluded or disqualified;
- (b) Have been convicted within the preceding three years of any of the offenses listed in 2 CFR § [180.800\(a\)](#) or had a [civil judgment](#) rendered against you for one of those offenses within that time period;
- (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, [state](#) or local) with commission of any of the offenses listed in 2 CFR § [180.800\(a\)](#); or
- (d) Have had one or more public transactions (federal, [state](#), or local) terminated within the preceding three years for cause or default.

At any time after you enter into a covered transaction, in accordance with 2 CFR § 180.350, you must give immediate written [notice](#) to HHS/ASPR if you learn either that—

- (a) You failed to disclose information earlier, as required by 2 CFR § [180.335](#); or
- (b) Due to changed circumstances, you or any of the principals for the transaction now meet any of the criteria in 2 CFR § [180.335](#).

### **FFATA and FSRS Reporting**

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (<http://www.FSRS.gov>) for all sub-awards and sub-contracts issued for \$25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

## **VII. AGENCY CONTACTS**

### **Chief Grants Management Officer (CGMO)**

U.S. Department of Health and Human Services  
Office of the Assistant Secretary for Preparedness and Response  
Acquisition Management Contracts and Grants  
Washington, D.C. 20201  
Attn: Virginia Simmons  
Telephone: (202) 260-0400  
Email: [asprgrants@hhs.gov](mailto:asprgrants@hhs.gov)

### **Project Officer**

U.S. Department of Health and Human Services  
Office of the Assistant Secretary for Preparedness and Response  
Washington, D.C. 20201  
Attn: Cicely Waters  
Telephone: (202) 205-0714  
Email: [cicely.waters@hhs.gov](mailto:cicely.waters@hhs.gov)

## **VIII. OTHER INFORMATION**

### **Attachments**

- Attachment A: Instructions for Completing Required Forms (SF 424, Budget (SF 424A), Budget Narrative/Justification)
- Attachment B: Budget Narrative/Justification - Sample Format
- Attachment C: Project Work Plan - Sample Template
- Attachment D: Instructions for Completing the Project Abstract

## **Attachment A: Instructions for Completing Required Forms (SF 424, Budget (SF 424A), Budget Narrative/Justification)**

This section provides step-by-step instructions for completing the four standard federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of federal grant programs, and federal agencies have the discretion to require some or all of the information on these forms. ASPR does not require all the information on these Standard Forms. Accordingly, please use the instructions below to complete these forms in lieu of the standard instructions attached to SF 424 and 424A.

### **a. Standard Form 424**

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

- Application

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

- New

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank.

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

5b. **Federal Award Identifier:** For new applications leave blank.

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

7. **State Application Identifier:** Leave this field blank.

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

**a. Legal Name** (Required): Enter the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website (<http://www.grants.gov>).

**b. Employer/Taxpayer Number (EIN/TIN)** (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

**c. Organizational DUNS** (Required): Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a

DUNS number may be obtained by visiting the Grants.gov website (<http://www.grants.gov>).

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

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

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

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

**10. Name of Federal Agency (Required):** Enter U.S. Assistant Secretary for Preparedness and Response

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

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

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

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

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

**16. Congressional Districts Of (Required):** **16a.** Enter the applicant’s Congressional District, and **16b.** Enter all district(s) affected by the program or project. Enter in the following format: two characters state abbreviation – three characters district number, CA-005 for California 5<sup>th</sup> district. If all congressional districts in a state are affected, enter “all” for the district number, (e.g. MD-all for all congressional districts in Maryland). If nationwide, enter U.S. all.

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

18. **Estimated Funding** (Required): Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable.

19. **Is Application Subject to Review by State Under Executive Order 12372 Process?**  
Check appropriate box

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

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

**b. Standard Form 424A**

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

**Section A - Budget Summary**

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

**Section B - Budget Categories**

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

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category. [DOES NOT APPLY TO THIS FOA.]

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

**Separate Budget Narrative/Justification Requirement**



Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of \$1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as, sub-contractor or sub-Awardee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a - **Personnel**: Enter total costs of salaries and wages of applicant/awardee staff. Do not include the costs of consultants, which should be included under 6h - Other.

**In the Justification**: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6 - **Fringe Benefits**: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

**In the Justification**: If the total fringe benefit rate exceeds 35 percent of personnel costs, provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35 percent or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c - **Travel**: Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under the "Other" cost category. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

**In the Justification**: Include the total number of trips, number of travelers, destinations, purpose (attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d - **Equipment**: Enter the total costs of all equipment to be acquired by the project. For all awardees, "equipment" is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more *per unit*. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

**In the Justification:** Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its sub-awardees.

Line 6e: **Supplies** - Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

**In the Justification:** For any grant award that has supply costs in excess of 5 percent of total direct costs (federal or non-federal), you must provide a detailed breakdown of the supply items (6 percent of \$100,000 = \$6,000 – breakdown of supplies needed). If the 5 percent is applied against \$1 million total direct costs (5 percent x \$1million = \$50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of \$5,000 or less regardless of total direct costs does not require a detailed budget breakdown (5 percent x \$100,000 = \$5,000 – no breakdown needed).

Line 6f - **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33 percent provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also, include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

**In the Justification:** Provide the following three items – 1) a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at \$100,000 in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 5 in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g - **Construction:** While construction is not an allowable cost for this program, minor A&R is permitted.

Line 6h - **Other:** Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (e.g. for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to *individual* consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (e.g. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then it belongs in this section.

**In the Justification:** Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the Work Plan or indicate where it is described in the Work Plan. Describe the types of activities for staff development costs.

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

Line 6j - **Indirect Charges:** Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter “none.” Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the HHS or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the federal share of your direct costs. Any unused portion of the awardee’s eligible Indirect Cost amount that are not claimed on the federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

NOTE: If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-awardees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

Line 6k - **Total:** Enter the total amounts of Lines 6i and 6j.

Line 7- **Program Income:** As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as Awardee match should be described in the Level of Effort section of the Program Narrative.

### **Section C - Non-Federal Resources**

**Line 12:** Enter the amounts of non-federal resources that will be used in carrying out the proposed project, by source (applicant; state; other) and enter the total amount in Column (e). Federal match is not required for this FOA.

**Section D - Forecasted Cash Needs -** Not applicable.

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

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

## **Section F - Other Budget Information**

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

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

### **c. Standard Form 424B - Assurances**

This form contains assurances required of applicants under the discretionary funds programs administered by the ASPR. Please note that a duly authorized representative of the applicant organization must certify that the organization complies with these assurances.

### **d. Certification Regarding Lobbying**

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

### **Proof of Non-Profit Status**

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

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a state taxing body, State Attorney General, or other appropriate state official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

### **Indirect Cost Agreement**

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the HHS or another federal agency. This is optional for applicants that have not included indirect costs in their budgets.

## Attachment B: Budget Narrative/Justification – Sample Format

The budget summary is used to determine reasonableness and allowability of costs for the project. All of the proposed costs listed must be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable federal cost principles, auditable, and incurred during the budget period.

### An allowable project cost meets the following criteria:

- Necessary for the performance of the award.
- Allocable to the project.
- In conformance with any limitations or exclusions set forth in the federal cost principles applicable to the organization incurring the cost.
- Consistent with the recipient's regulations, policies, and procedures which are applied uniformly to both federally-supported and other activities of the organization.
- Accorded consistent treatment as a direct or indirect cost.
- Determined in accordance with generally accepted accounting principles.
- Not included as a cost in any other federally-supported award.

The following four tests are used in determining the allowability of costs:

- **Reasonableness (including necessity).** A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the federal government and the public at large, as well as to their organization.
- **Allocability.** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable if it is incurred solely to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.
- **Consistency.** Recipients must be consistent in assigning costs to cost objectives. Regulations regarding cost assignment must be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to avoid duplicate charges.

- **Conformance.** Conformance with limitations and exclusions contained in the Terms and Conditions of award, including those in the cost principles, may vary by the type of activity, the type of recipient, and other characteristics of individual awards.

### Budget Summary

**Section A – Personnel:** An employee of the applying agency whose work is tied to the application. Proposed salaries must be reasonable. Compensation paid for employees must be reasonable and consistent with that paid for similar work within the applicant’s organization and similar positions in the industry.

**Table 1: Personnel**

Position	Name	Annual Salary/Rate	Level of Effort	Federal Cost
Project Director	Susan Jones	\$45,000/year	100%	\$45,000
Project Coordinator	Brad Smith	\$42,000/year	50%	\$21,000
			TOTAL	\$66,000

**NARRATIVE JUSTIFICATION:** Enter a description of the personnel funds requested and how their use will support the purpose and goals of this proposal. Describe the role, responsibilities, and unique qualifications of each position.

**B. FringeBenefits** - Fringe benefits may include contributions for items such as social security, employee insurance, and pension plans. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. If fringe benefits are not computed as a percentage of salary (e.g. 25 percent), list all components of the fringe benefits rate, for example:

**Table 2: Fringe Benefits**

Component	Rate	Wage	Federal Cost
FICA	7.65%	66,000	\$5,049
Insurance	5%	66,000	\$3,300
		TOTAL	\$8,349

**NARRATIVE JUSTIFICATION:** Enter a description of the fringe funds requested and how the rate was determined.

**C. Travel** - Federal funds requested for travel are for staff travel only (travel for consultants is listed in consultant category). Travel for other participants, committee members, etc. should be listed under the cost category “other”. Applicants are to use the lowest available commercial fares for coach or equivalent accommodations. Note that Applicants will be expected to follow federal travel policies found at <http://www.gsa.gov>.

**Table 3: Travel**

Purpose of Travel	Location	Item	Rate	Federal Cost
Attend awardee meeting	Washington, DC	Air Fare	\$350 X 4 people	\$1,400
		Per Diem	\$71/day X 4 days X 4 people	\$1,136
		Airport	\$10/day X 4 days	\$40
		Parking	\$28/RT X 4 people	\$112
		Airport Shuttle	\$211/night X 3 nights X 4 people	\$2,532
		Hotel	<b>Subtotal</b>	<b>\$5,220</b>
Local travel	Various	POV	.44/mile X 2,000 miles/year	\$880
			<b>TOTAL</b>	<b>\$5,000</b>

**NARRATIVE JUSTIFICATION:** Explain the purpose for all travel and how costs were determined. List any required travel, funds for local travel that are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

**D. Equipment** - Permanent equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines "equipment" at a different rate, then follow the applying agency's policy. In the case of vehicles, etc. applicant should justify purchase rather than rental. If equipment is used by several different projects, you may only charge a percentage of the costs for the purchase based on the amount of time, etc. that the equipment will be used for this grant program. Any purchased equipment must be inventoried according to the guidelines in the HHS Grants Policy Statement.

**Table 4: Equipment**

Item(s)	Rate	Federal Cost
Computer Work Station	\$5,500 X 2	\$11,000
Computer	\$6,000 X .5FTE	\$3,000
	<b>TOTAL</b>	<b>\$14,000</b>

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

**E. Supplies - Materials** costing less than \$5,000 per unit and often having one-time use, for example – general office supplies, postage, printers, etc.

**Table 5: Supplies**

Item(s)	Rate	Federal Cost
General Office Supplies	\$50/month X 4 FTE	\$200
	TOTAL	\$200

**NARRATIVE JUSTIFICATION:** Enter a description of the supplies requested and how their purchase will support the purpose and goals of this proposal. Rates for office supplies, etc. may be based on average monthly costs, FTE, etc.

**F.Contracts and Consultants** - An arrangement to carry out a portion of the programmatic effort by a third party or for the acquisition of goods or services is allowed under the grant. Such arrangements may be in the form of sub awards (grants) or contracts. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. List each contract, consultant or sub award separately and provide an itemization of the costs. If a contractor is to be determined, provide a best estimate as to costs for the goods or services to be purchased.

The awardee must establish written procurement policies and procedures that are consistently applied. All procurement transactions are required to be conducted in a manner to provide to the maximum extent practical, open and free competition. The awardee should be alert to organizational conflicts of interest as well as to noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.

**Method of Selection:** This will be sole source, competition, or grant.

**Scope of Work:** Provide a breakout of the goods and/or services being provided by the contractor. If personnel are being charged then should list name, position, hours and rate/hour. Goods will be listed at number of units and cost/unit. List method to be used for sub-recipient monitoring – site visit, semi-annual reports, etc. Documentation of monitoring should be kept with the contract/award file.

**Table 6: Contract/Sub award**

Activity	Name	Method of Selection	Scope of Work	Federal Cost
Public Information	WMTV	Sole source	Paid Ads 12/month X \$250/ad X 6 mo. Paid Ads 12/month X \$250/ad X 6 mo. <b>Monitoring:</b> semi-annual report	\$18,000
Mobil Medical Assets	To Be Determined	Competition	Medical supply inventory (\$1,600) Wheelchair bus conversions( 6 X \$37,000) <b>Monitoring:</b> semi-annual	\$223,600



Activity	Name	Method of Selection	Scope of Work	Federal Cost
			report	
			TOTAL	\$241,600

**NARRATIVE JUSTIFICATION:** Provide information as to how the contracted services or goods will enhance the project goals and objectives. Provide sole source justification.

**Table 7: Consultant**

Organization	Name	Number of Days	Rates	Federal Cost
Trepid	Jon Smith	20	\$150/day Travel 4 trips X 1,204 (travel @ \$475; lodging @ \$175/night X 3; Per Diem @ \$51 x4) = \$4,816	\$7,816
			TOTAL	\$7,816

**NARRATIVE JUSTIFICATION:** Provide information as to how the consultant services or goods will enhance the project goals and objectives.

**G. Other -Expenses** not covered in any of the previous budget categories. If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building, which is less than an arm’s length arrangement, provide cost of ownership/use allowance calculations.

**Table 8: Other**

Item	Rate	Federal Cost
Postage	\$65/mo. X 12 months X 4 FTE	\$3,120
	TOTAL	\$3,120

**NARRATIVE JUSTIFICATION:** Explain the need for each item and how it will support the purpose and goals of this proposal. Break down costs into cost/unit (cost/square foot or cost/month or cost/FTE).

**H. Indirect Costs:**

Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (e.g., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. If indirect costs are claimed, applicant is to submit a copy of a current negotiated indirect

cost rate agreement. Indirect costs are only charged on the items cited in the indirect cost rate agreement (e.g. personnel and fringe, subawards over \$25,000).

**Table 9: Indirect costs**

<b>Total Direct Cost applied to Indirect Cost</b>	<b>Indirect Cost Rate</b>	<b>Federal Cost</b>
\$450,000	22%	\$99,000
	TOTAL	\$99,000

**Attachment C: Project Work Plan, Page 1 – Sample Template**

**Goal:**  
**Measurable Outcome(s):**

\* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														

Add as many pages as needed

## Attachment D: Instructions for Completing the Project Abstract

- All applications for grant funding must include an abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, please limit the length to no more than 265 words on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

**Goal(s)** – broad, overall purpose, usually in a mission statement, e.g. what you want to do, where you want to be.

**Objective(s)** – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the “how”). Specific performances that will result in the attainment of a goal.

**Outcomes** – measurable results of a project. The positive benefits or negative changes, or measurable characteristics that occur as a result of an organization's or program's activities. (Outcomes are the end-point).

**Products** – materials, deliverables.

- A model abstract is provided below:

The awardee, Okoboji University, supports this three-year Dementia Disease demonstration (DD) project in collaboration with the local Alzheimer's Association and related Dementias groups. The **goal** of the project is to provide comprehensive, coordinated care to individuals with memory concerns and to their caregivers. The approach is to expand the services and to integrate the bio-psycho-social aspects of care. The **objectives** are: 1) to provide dementia specific care, e.g., care management fully integrated into the services provided; 2) to train staff, students and volunteers; 3) to establish a system infrastructure to support services to individuals with early stage dementia and to their caregivers; 4) to develop linkages with community agencies; 5) to expand the assessment and intervention services; 6) to evaluate the impact of the added services; 7) to disseminate project information. The expected **outcomes** of this project are: 1) patients will maintain as high a level of mental function and physical functions (thru Yoga) as possible; 2) caregivers will increase ability to cope with changes; and 3) pre and post – project patient evaluation will reflect positive results from expanded and integrated services. The **products** from this project are: 1) a final report, including evaluation results; 2) a website; articles for publication; 3) data on driver assessment, and 4) in-home cognitive retraining; abstracts for national conferences.