U.S. Department of Health and Human Services

Office of the National Coordinator for Health Information Technology

Funding Opportunity Announcement
Discovery Infrastructure for Clinical Health IT Apps Cooperative Agreement

Application Due Date: 04/30/2016

Anticipated Award Date: 06/08/2016

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OPPORTUNITY OVERVIEW

Funding Opportunity Announcement Title: Discovery Infrastructure for Clinical Health IT Apps Cooperative Agreement

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

Announcement Type: Cooperative Agreement

Funding Opportunity Number: NAP-AX-16-003

Catalog of Federal Domestic Assistance (CFDA) Number: 93.826

Statutory Authority: Consolidated Appropriations Act, 2016, Pub. L. No. 114-113, Division H, Title II.

Approximate Amount of Funding Available: $275,000

Anticipated number of Awards: One (1) award

Approximate Range of funding per award: N/A

Period of Performance: One (1) year

Key Dates and Submission Information:
Section IV – Application an d Submission Information

FOA Release	Date	Section Reference
Application Due Date	April 30, 2016 by 11:59pm EST	Section D – Application and Submission Information
Anticipated Award Date	May 25, 2016	Section F – Award Administration Information
Anticipated Project Start Date	June 8,2016	

Executive Summary

This Discovery Infrastructure for Clinical Health IT Apps project is a cooperative agreement funding opportunity to be funded under the Consolidated Appropriations Act, 2016, Pub. L. No. 114-113, Division H, Title II. The purpose of this cooperative agreement is to improve provider's ability to discover health information technology (IT) applications (apps) that integrate with electronic health record systems (EHRs), specifically apps that leverage the Health Level 7 (HL7®), Fast Healthcare Interoperability Resources (FHIR®) standard. The awardee will develop an online resource, innovation sandbox and conduct market research with the focus of improving the experience of app discovery through better infrastructure and information transparency. By focusing on improving provider user experience, customization of health IT and helping providers make more informed decisions when it comes to health IT this work will accelerate and support the use of health IT to achieve a high-performing, interoperable, learning healthcare system.

This project is part a larger Office of the National Coordinator for Health IT (ONC) strategy to catalyze the development of market-ready, platform-agnostic apps that allow consumers to access their own electronic health information and improve the health IT user experience of healthcare providers as they deliver care.

A. Program Description/Purpose

State of the Market and Existing Challenges

Together with industry stakeholders, ONC has led substantial progress in health IT adoption across the country. Health information is beginning to flow between providers and to patients in record numbers, and stakeholders from across the continuum of care are beginning to expect the right information at the right time, in structured, electronic format. Interoperability, the ability of a system to exchange electronic health information with and use electronic health information from other systems without special effort on the part of the user, is recognized as a necessary foundation to support a nationwide transition toward value-based care.[1]

With the influx of new technologies and rapid increase of computable, electronic health information providers are experiencing new challenges that prevent them from optimally using their health IT. Systems now contain vast amounts of health data, but the data may be presented in such a complex way that it is difficult for providers to review and act on. Some EHR systems do not have customized interfaces to present relevant information tailored for the variety of specialties or roles on the care team. Providers may wish to take advantage of a multitude of online clinical decision support tools and best practices, but those may not integrate well into their EHR system and workflow. Providers who are interested in installing a third-party app often find that this requires custom integration and considerable staff resources.

Some providers are starting to make strides in customizing their experience with health IT through the use of substitutable, "plug-and-play" apps that leverage the FHIR® standard and can integrate with different EHR systems. Some examples include an app that can help a provider interpret genomic results at the point of care, or an app that can analyze a patient's blood glucose levels that were delivered through a mobile device. Through efforts like Project Argonaut, the health IT developer and provider communities have come together to support the development of FHIR® through an open and public process. FHIR® shows promise in accelerating nationwide interoperability and patient access because it uses a modern Representational State Transfer (RESTful) approach that is similar to the way the rest of the consumer internet operates. Widespread implementation of FHIR® could make it easier for developers to create innovative and effective apps that integrate with multiple EHR developers' systems, helping to ensure that many providers can take advantage of these tailored solutions, regardless of which EHR system their organization has.

Several EHR developers have their own app stores for products that connect to their systems (for example, Allscripts Application Store and athenahealth Marketplace). However, the apps available in these stores are

[1] Based on the IEEE definition for interoperability:
http://www.ieee.org/education_careers/education/standards/standards_glossary.html

generally proprietary and there are not many FHIR® enabled apps currently available in those stores. The public can browse open source FHIR® enabled apps on the SMART App Gallery, a project previously funded by ONC. In the SMART App Gallery, users can experiment with various apps in a sandbox environment that includes sample patient data. A sandbox environment is an online testing environment where users can try out demonstration apps using publicly available, de-identified data sets. However, the sandbox datasets that are currently available are limited in diversity, size, and data type. Further, the SMART App Gallery does not consistently provide comparative factors, such as system compatibility, terms of use, or fee information.

Providers report difficulty in finding the information needed to make an informed choice before embarking on a resource-intensive process of app integration. Third-party app developers report that there is little transparency regarding terms of use, fees, and the resources that they will need to connect with the different EHR systems. This lack of transparency can stifle innovation and inhibit both providers and third-party app developers from exploring better ways of presenting healthcare data at the point of care. Though the market has taken the lead in developing the FHIR® standard, more coordination and greater information transparency about FHIR® enabled apps will help providers learn what innovative apps are available to them and help them make informed choices.

Impact and Desired Outcomes

ONC is interested in promptly and effectively addressing these challenges to ensure that the goals of the Health Information Technology for Economic and Clinical Health (HITECH) Act are achieved and sustained. This cooperative agreement seeks to address the challenges in the current market by funding the creation of an open, online resource (e.g. interactive website), an innovation sandbox, and conducting and reporting on market research. Such resources will give providers the ability to easily search for and identify FHIR® enabled apps that can enhance their health IT experience. This cooperative agreement focuses on the FHIR® standard because of the current industry momentum behind the new standard and a growing interest in an industry-wide approach to open, standardized application programming interfaces (APIs) using FHIR.

The scope of work does not require the awardee to secure any additional FHIR® specific rights or permissions because the online resource itself is not intended to use the FHIR® standard. The online resource to be developed would host information about FHIR® enabled apps. However, if found to be necessary to complete the scope of work, the awardee must obtain all necessary rights, permissions, and licenses[2] for the online resource and the innovation sandbox prior to the time that these deliverables are published online and accessible to the public. Some of the information that could be included on the online resource are important comparative factors, such as, but not limited to, system compatibility, app functionality, policies and terms of use, level of necessary integration resources, fee information, and user reviews or ratings. The specific types and level of details including the best way to build the online resource will be informed through the market research that the awardee will conduct at the onset of this cooperative agreement. Providers should also be able to test out any FHIR® enabled apps they are interested in so that providers can make informed decisions before purchasing and integrating FHIR® enabled apps into their EHR systems. Therefore the awardee will also develop an innovation sandbox that includes different types of sample, de-identified data that is structured when applicable and appropriate. The work resulting from this cooperative agreement should help improve transparency and move the market toward increased competition in this emerging space.

ONC does not intend to maintain the online resource or the innovation sandbox because the pace at which this technology is evolving strongly suggests that these deliverables remain within the realm of industry experts. However, to ultimately support wider implementation of FHIR® enabled apps that will customize and improve the EHR experience the awardee must also provide a financial sustainability plan projecting three-years beyond the end of the cooperative agreement that details how the awardee intends to make the online resource, innovation sandbox and market research report available to the general public even after the period of performance ends. The financial sustainability plan may include but is not limited to: pricing strategies, market research, public and private financing strategies, financial reporting, business planning, audits, and controls. The awardee is expected

[2] Note that the FHIR® standard is licensed under Creative Commons "No Rights Reserved": https://www.hl7.org/fhir/license.html

to build on efforts like the SMART App Gallery and others and provide a consistent experience for potential FHIR® enabled app market entrants. The online resource should make it easy for third-party app developers to understand how to contribute information about their products and list them on the online resource. All components of the online resource should be developed with a central focus on addressing the particular goals, challenges, and motivations of the end users.

The outcome of this cooperative agreement, improved product information transparency is complementary to the new disclosure requirements that were included in ONC's 2015 Edition final rule. The 2015 Edition final rule requires ONC authorized certifying bodies (ONC-ACBs) to report an expanded set of information they obtain from health IT developers, including information about certified APIs, to ONC for inclusion in the open data file that makes up the Certified Health IT Product List (CHPL). Please see the 2015 Edition final rule for the new disclosure and transparency requirements[3]. For purposes of this FOA, the information that will be made available to providers on the online resource developed by the awardee will identify and describe substitutable apps that integrate with an EHR system[4]. The information made available to providers on the online resource may be different and more expansive than what is required in the 2015 Edition final rule, for various reasons including instances where a developer decides not to pursue certification for an app. Further, the information on the online resource will be presented in a manner that uses human centered design principles making it easier for providers to make informed choices when selecting apps that integrate into their EHRs.

Key Tasks, Deliverables, and Timeline

The awardee will focus on areas where breakthrough improvements are needed to address problems that have impeded adoption of health IT and to achieve ONC's priority objective to encourage open, standardized application programming interfaces (APIs), consistent with policy set out in the Nationwide Interoperability Roadmap, Stage 3 of the Centers for Medicare & Medicaid Services' (CMS) EHR Incentive Programs, and the 2015 Edition final rule. In order to achieve this, the awardee must execute the following tasks: conducting market research, creating an online, interactive resource, building an innovation sandbox, and developing a sustainability plan.

The awardee may anticipate a total budget of $275,000 over the full one- year performance period.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Awardee progress toward performance-based key milestones and outcomes and will be regularly monitored on an ongoing basis. In the event an awardee's progress is lagging, the ONC project officer for that award will work with the awardee to furnish technical assistance aimed at improving the awardee's performance.

Awardees may also be expected to participate in a more formal assessment of performance against key milestones, outcomes, and accomplishments expected semi-annually, pursuant to the applicant's project plan for activities under this award. This assessment may be effected via a Project visit or through telecommunications technologies.

The project plan of reference will be the applicant's proposed project plan, with any revisions made as a result of discussions with ONC, which is incorporated in the award. Recipients will be required to track progress by collecting data about their activities and progress toward milestones and outcomes.

ONC's evaluations will assess project performance and progress towards the key milestones specified below:

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[3] 45 CFR § 170.523; see 2015 Edition final rule: https://federalregister.gov/a/2015-25597

[4] Example app documentation can be found here: https://gallery.smarthealthit.org/cerner-corporation/cerner-hie-on-smart

- Developing an initial work plan, delineating short term projects that will complete in six months and then by the end of the period of performance;
- Establishing a network of multi-stakeholder relationships, including relationships with the provider and developer communities and industry representatives;
- Establishing plans to utilize expertise, both internal and external, to help lead nationwide coordination efforts that will ensure long term sustainability of the app discovery infrastructure;
- Implementing the plan to translate market research into app discovery infrastructure product(s) and service(s) (e.g. online resource) in a timely manner;
- Establishing guidelines and/or proposals for accelerating the translation and integration of FHIR® enabled apps into available discovery infrastructure product(s) and service(s) (e.g. online resource) within the healthcare marketplace;
- Scheduling and conducting (as appropriate) and participating in expert panel meetings, ONC team meetings and stakeholder meetings;
- Conducting and managing the projects to significant, demonstrable progress in one year; and
- Communicating market research findings through appropriate mechanisms and making available as they are generated.

Structure and Approach

For additional guidance on how to approach each of the following tasks and deliverables, please visit the U.S. Digital Services Playbook: https://playbook.cio.gov/.

Task	*Deliverable*	*Due Date*
Task 1 – Market Research Conduct market research to collect information from the provider community that will inform the process of developing an online resource that will allow users to compare FHIR® enabled apps, with a focus on making information about system compatibility and integration available and easy to understand.	A report, a form of which will be publicly available, of the market research findings that will present and analyze the types of information providers are most interested in learning about EHR applications. This research should: (1) Be conducted using human-centered design principles and should focus on improving EHR usability and provider user experience; and (2) Take into account the various roles on the care team (i.e. physicians, physician assistants, nurses, specialists).	To be determined by awardee so long as all deliverables of this phase are completed by December 2016.

Task	*Deliverable*	*Due Date*
Task 2 – Online Resource Create an online resource to support the development of infrastructure making it easier for FHIR® enabled app developers to publish their apps and for providers to discover such apps in a coordinated way.	An online resource (e.g. interactive website) where providers can easily view and understand relevant information about applications for their EHR. While the specific types of information included should be informed by the market research conducted in Task 1, examples of different types of relevant information for providers may include: • Cost of integration • Staff time and resources • Application functionality • EHR system compatibility • App reviews or ratings from users Awardee must obtain the necessary rights, permissions, and licenses[5] for the online resource prior to the time that these deliverables are published online and accessible to the public. User testing of the online resource should be conducted to ensure the highest possible standard for quality user experience, including a dynamic, engaging, and interactive interface.	December 2016.

[5] Note that the FHIR® standard is licensed under Creative Commons "No Rights Reserved": https://www.hl7.org/fhir/license.html

Task	*Deliverable*	*Due Date*
Task 3 - Innovation Sandbox Build out an innovation sandbox to allow users to test out open source EHR apps.	An online sandbox environment with sample, de-identified data in which providers can "test drive" different applications that they find in the online resource produced under Task 2. Data should be structured where applicable and appropriate. Awardee must obtain the necessary rights, permissions, and licenses[6] for the innovation sandbox (e.g. licensing requirements for demonstration apps) prior to the time that these deliverables are published online and accessible to the public. The different data types that could be included should be informed by the market research conducted in Task 1, but may include: • Clinical • Claims • Biospecimen-derived • Patient generated health data (e.g. from wearable or mobile devices) • Patient-reported outcomes (e.g. PROMIS measures or similar)	June 2017
Task 4 – Sustainability Plan	In order to ensure the financial sustainability of the project beyond the cooperative agreement funding, the recipient must submit a business plan that clearly sets out the recipient's strategy to achieve sustainability by the end of the period of performance and projecting three-years beyond the end of the cooperative agreement. The business plan may include but is not limited to: pricing strategies, market research, public and private financing strategies, financial reporting, business planning, audits, and controls.	Due prior to the end of the period of performance.

[6] Note that the FHIR® standard is licensed under Creative Commons "No Rights Reserved": https://www.hl7.org/fhir/license.html

Project Goals and Program Milestones

A performance goal/program milestone is a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared. The performance goals/program milestones associated with this FOA, and ensuing award, are as follows:

1. Completion of market research to gather information from the provider community on what users need to understand in order to compare FHIR® enabled apps (first 20% of funding awarded).
    a. Creation of a market research plan that encompasses geographic diversity and incorporates various care team roles.
    b. Publication of a summary report detailing the findings of market research to benefit the health IT developer community.
2. Development of an interactive, engaging online resource for providers to find and compare EHR applications (second 50% of funding awarded)
    a. Securing of all necessary rights, permissions, and licenses for the online resource
    b. Create an open resource that will give providers the ability to easily search for and identify apps that they can use to enhance their health IT experience.
    c. Creation of user testing plan that incorporates best practices and principles of human centered design and usability.

3. Development of an innovation sandbox to allow providers to test out EHR applications using sample data (last 30% of funding awarded).
    a. Securing of all necessary rights, permissions, and licenses for the innovation sandbox
    b. Collection of donated or otherwise procured sample, de-identified data for to allow functional testing of EHR applications that are listed in the online resource.
    c. Production of a sustainability plan that includes a strategy to achieve financial sustainability for the online resource and the innovation sandbox by the end of the period of performance and projecting three-years beyond the end of the cooperative agreement.

B. Funding Opportunity Award Information

Key Award Parameters

Title: Discovery Infrastructure for Clinical Health IT Apps

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

Announcement Type: *Cooperative Agreement.* A cooperative agreement is a support mechanism used when there will be substantial Federal Involvement.

Application Type: *New*

Funding Opportunity Announcement Number: ***NAP-AX-16-003***

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

Eligible Applicants: Private nonprofit institution/organizations, public nonprofit institution/organizations, and private or for profit organizations with proven knowledge of and familiarity working with the FHIR® standard. .

Legislative Authority: Consolidated Appropriations Act, 2016, Pub. L. No. 114-113, Division H, Title II

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

Anticipated Number of Awards: *1*

Approximately Amount of Each Award: *$275,000*

Project Period: *06/08/2016 to 06/07/2017*

Budget Period(s): *06/08/2016 to 06/07/2017*

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

Cost-Sharing Requirements: N/A

Program Income: N/A

Intergovernmental Review: This program is excluded from Executive Order 12372

Key Dates

Milestone	Date
FOA Released	*03/01/2016*
Informational Session	*03/16/2016*
Notice of Intent Due	*03/30/2016*
Applications Due	*04/30/2016*
Anticipated Award Date	*05/25/2016*
Anticipated Project Start Date	*06/08/2016*

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

Specific tasks and activities may be shared between the awardee and ONC include, but not limited to:

- participating in the selection of key personnel
- releasing funds based on achievement of performance goals/project milestones
- agency review and approval of substantive provisions of proposed sub-awards or contracts
- reviewing and approving deliverables
- reviewing and approving budgets
- selecting meeting/panel members
- participating in communities of practice
- providing tactical guidance and feedback during project execution
- engaging with leadership of the awardee's organization to ensure successful execution of the cooperative agreement
- ending an activity if performance specifications are not met

Informational Session
ONC will conduct an informational session, via a webinar, to:

- Discuss the background, purpose, scope, terms and conditions and other provisions in the FOA
- Explain the eligibility and application requirements
- Describe the application review process
- Provide an opportunity for interested parties to ask questions

Further details about the informational session – including the date, time, and instructions for joining – are available at *https://www.healthit.gov/*.

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

Notice of Intent

Although not required, applicants are strongly encouraged to submit a non-binding email notice of intent to apply for this funding opportunity. This notice of intent will assist ONC in planning for the application review process.

The Notice of Intent is requested by 11:59 P.M. Eastern Standard Time on March 30, 2016 and should be sent to *ONC.TechLab@hhs.gov*. The notice should identify the name of the applicant organization, organization type, the city and state in which the applicant organization is located, and the Funding Opportunity Announcement title and number.

C. Eligibility Information

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

D. Application and Submission Information

Application Package

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

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

Appendix A, Tips for Writing a Strong Application, can be used as a resource. Plain English and user-friendly language should be used throughout the application. For additional guidance on how to structure the application's work plan, please see the U.S. Digital Services Playbook and other resources made available by 18F, including but not limited to:

- U.S. Digital Services Playbook: https://playbook.cio.gov/
- 18F Agile Guidelines: https://pages.18f.gov/agile/
- 18F Design Methods: https://methods.18f.gov/

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

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

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

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

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

The Project Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point. The maximum length allowed for the Project Narrative is *10* pages. A Project Narrative that exceeds the *10* page limit will not be considered for further review. Resumes of Key Personnel, if requested, are not counted as part of the Project Narrative and are not included in the *10* page limit.

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

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

Form SF-424B, Assurances for Non-Construction Programs
This form contains laws and other assurances applicants must comply with under the discretionary funds programs administered by the Office of the National Coordinator for Health Information Technology. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

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

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

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

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

Proof of Non-Profit Status

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

- A copy of a currently valid IRS tax exemption certificate.

- A statement from a state taxing body, state attorney general, or other appropriate state official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.

- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement(s)

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

Work Plan

A high level work plan should detail the proposed sub-tasks that will be undertaken to complete each task and associated timelines, and should address the elements articulated in the Program Description/Purpose and Structure and Approach sections of this FOA. If the applicant is selected as the awardee, revisions to the project plan may be made as a result of discussions with ONC. While there is flexibility regarding sub-task deadlines, the final deliverables must be completed by the dates indicated in the Structure and Approach sections of this FOA. The Work Plan must be formatted to 8 ½" x 11" (letter-size) pages with 1" or larger margins on top, bottom, and both sides, and a font size of not less than 11 point. The Project Work Plan should reflect and be consistent with the project narrative and budget and should cover the budget year of the period of performance. For each major task or action step, the work plan should identify timeframes involved, including start- and end-dates.

Application Submission Instructions

1) You must access the electronic application for this program via http://www.grants.gov. You can search the downloadable application page by the Funding Opportunity Announcement Number *NAP-AX-16-003* or CFDA number *93.826.*

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

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

The following actions are required in order to upload applications into Grants.gov:

a) An applicant must be registered in the System for Award Management (SAM), at sam.gov, which requires having a DUNS number. The SAM registration process takes 7 to 10 business days so please plan accordingly. If you have already registered with SAM, but have not renewed your registration in the last 12 months, you will need to renew your registration.

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

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

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

4) After electronically submitting your application, Grants.gov will generate an email Grants.gov will generate an email confirming that the application was received including the date and time of receipt and a tracking number.

The deadline for the submission of applications under this Funding Opportunity Announcement is 11:59pm Eastern Standard Time on April 30, 2016. Applications that fail to meet the application deadline will not be reviewed and will receive no further consideration.

Restrictions on Oral Conversations

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

This restriction applies unless:

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

For additional information, see: http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-24.pdf

E. Application Review Information

Screening Review

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

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

Merit Review

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

- *Technical Approach and Work Plan (30 Points)*
  - The extent to which the proposal addresses the identified challenges (5 points)
  - The extent to which the proposed methods promise to address the challenges with breakthrough findings on the proposed timeline, including a detailed plan for user testing (10 points)
  - The balance and appropriateness of the characterization of projects as short term and longer-term, and the balance between them (5 points)
  - The extent to which the plan to transition results of short term projects to products and best practices is complete and feasible; and envisions the release of the outcomes of their research into open-source communities. (10 points)

- *Knowledge of Health IT (10 Points)*
  - Knowledge of and familiarity working with the FHIR® standard, including hands-on technical expertise (5 points)
  - The extent to which the applicant has identified a thoughtful and coherent set of challenges associated with market adoption of FHIR® enabled apps and building app discovery infrastructure, clearly identifying issues that are—or, if not addressed, will be—clear barriers to the use and sustainability of a market in which FHIR® enabled apps are the norm (5 points)

- *Organization Capability (20 Points)*
  - Strength of evidence that the project brings the very highest level of talent for the chosen focus area and that the project will integrate the efforts of these experts. Description of talent should include: full stack development, project management, and proven user-centered design experience, including examples of previous work that demonstrates capability to create a dynamic, engaging user interface (10 points)
  - Extent to which the proposed activities bring all the resources necessary to perform the proposed work and the identification of proposed strategies to sustain efforts beyond the project time-frame (10 points)

- *Collaboration and Facilitation (20 Points)*
  - Extent to which the applicant has the ability to facilitate unhindered dialogue from provider and developer communities to gain the information necessary to build products that will most adequately address challenges (10 points)
  - Extent to which the applicant has the ability to effectively translate market research findings into effective product design (10 points)

- *Innovation, Development of Open Resource (10 Points)*
    - Extent to which the open resource proposed by the applicant show innovation and creativity, as well as demonstrated alignment with the goal of widespread implementation of standardized APIs to facilitate better user experience for providers and patients, and interoperability in health IT

- *Budget Narrative/Justification (10 points)*
    - Extent to which the proposed levels of effort of the project director, key personnel and consultants are adequate to advance the project in accordance with timelines (3 points)
    - Extent to which the budget is justified with respect to the adequacy and reasonableness of resources requested, and the amount of the budget allocated to administration is minimized while still allowing coherent management of an integrated project (3 points)
    - Adequate justification to support costs included in budget (4 points)

Pre-Award Risk Assessment

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

F. Federal Award Administration Information

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

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

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

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

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

Terms and Conditions

Incorporated by Reference

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

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

- HHS Grants Policy Statement
  http://www.hhs.gov/asfr/ogapa/aboutog/ogpoe/grants_mgmt_policy_sources.html

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

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

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

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

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

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

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

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

Funding Restrictions
Funds cannot be used for the following purposes:
- To supplant or replace current public or private funding
- To supplant ongoing or usual activities of any organization involved in the project
- To purchase or improve land, or to purchase, construct, or make permanent improvements to any building
- To reimburse pre-award costs

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

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

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

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

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

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

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

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

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

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

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

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The HHS awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

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

(d) The Federal Government has the right to:

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

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

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

(2) Published research findings means when:

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

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

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

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

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

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

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

Records Retention

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

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

Modifications

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

Audit Requirements

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

G. Points of Contact

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

ONC Grants Management Specialist
Cynthia Perry
330 C Street SW
Washington, DC 20201
Oncgrants@hhs.gov

ONC Project Officer
Maya Uppaluru
330 C Street SW
Washington, D.C. 20201
ONC.TechLab@hhs.gov

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

DUN and Bradstreet
http://www.dnb.com/
800.234.3867

System for Award Management (SAM) Customer Support
https://www.sam.gov

Federal Service Desk -- www.fsd.gov
866-606-8220

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

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

Appendix A

Tips for Writing a Strong Application

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

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

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

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

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

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

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

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

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

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

Instructions - SF-424, Application for Federal Assistance

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

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

Item	Field Name	Information
	b. Employer/Taxpayer Number (EIN/TIN):	(Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS:	(Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.
	d. Address:	Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).
	e. Organizational Unit:	Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
	f. Name and contact information of person to be contacted on matters involving this application:	Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)
10.	Name Of Federal Agency:	(Required) Enter the name of the federal agency from which assistance is being requested with this application.
11.	Catalog Of Federal Domestic Assistance Number/Title:	Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	Funding Opportunity Number/Title:	(Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	Competition Identification Number/Title:	Enter the competition identification number and title of the competition under which assistance is requested, if applicable.

<table>
<tr><th>Item</th><th>Field Name</th><th>Information</th></tr>
<tr><td>14.</td><td>Areas Affected By Project:</td><td>This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</td></tr>
<tr><td>15.</td><td>Descriptive Title of Applicant's Project:</td><td>(Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</td></tr>
<tr><td>16.</td><td>Congressional Districts Of:</td><td>15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation - 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.</td></tr>
<tr><td>17.</td><td>Proposed Project Start and End Dates:</td><td>(Required) Enter the proposed start date and end date of the project.</td></tr>
<tr><td>18.</td><td colspan="2">Estimated Funding:</td></tr>
<tr><td colspan="3">(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

Applicants should review matching principles contained in 45 CFR 75.306 before completing Item 18. All budget information entered under item 18 should cover the upcoming budget period. For sub-item 18a, enter the federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least *[cite percentage or fraction]* of the amount of federal funds being requested (the amount in 18a). For sub-item 18f, enter only the amount, if any, which is will be used as part of the required match.

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

Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-awardees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.</td></tr>
<tr><td>19.</td><td>Is Application Subject to Review by State Under Executive Order 12372 Process?</td><td>(Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</td></tr>
</table>

Item	Field Name	Information
20.	Is the Applicant Delinquent on any Federal Debt?	(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
21.	Authorized Representative:	To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

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

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

Section A Budget Summary

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

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

Separate Budget Narrative/Justification Requirement

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

In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or more. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as, sub-contractor or sub-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 cost of consultants. Consultant costs should be included under 6h, Other. In the Budget Narrative/Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the Budget Narrative/Justification.

Some Points to Consider:

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

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

Some Points to Consider:

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

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

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

Some Points to Consider:

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

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

Some Points to Consider**:**

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

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

Some Points to Consider:

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

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

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

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

Some Points to Consider:

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

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

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

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

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

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

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

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

Section C Non-Federal Resources - Not applicable

Section D Forecasted Cash Needs *- Not applicable.*
Section E Budget Estimate of Federal Funds Needed for Balance of the Project

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

Section F Other Budget Information

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

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

Budget Narrative/Justification Template (with SAMPLE information)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel Salary	$40,000	$5,000		$45,000	◆ Project Administrator Jane Doe = .3FTE @ $50,000/year = $15,000 $10,000 = Federal funds and $5,000 = non-federal cash ◆ Project Director John Smith = 1FTE @ $30,000/year = $30,000 Federal funds **TOTAL: $45,000**
Fringe Benefits	$12,600	0	0	$12,600	Fringes benefit rate is 28% of salary as follows. All Federal Funds FICA (7.65%)= $3,442 Health Insurance (12%) = $5,400 Dental Insurance (5%) = $2,250 Life Insurance (2%) = $900 Workers Comp Insurance (.75%) = $338 Unemployment Insurance (.6%) = $270 **TOTAL: $12,600** ($45,000 * 28%)
Travel	$4,120	$1,547		$5,667	◆ Travel to two annual awardee meetings: All Federal funds. Airfare: 2 people x 2 trips $750/per round trip = $3,000 Lodging: 2 nights per trip x 2 people x $100/night x 2 trips = $800 Per Diem: 2 days per trip x 2 people x $40/day x 2 trips = $320 **Subtotal: $4,120** ◆ Out-of-town site visits. Non-federal cash. Car mileage: 3 trips x 2 people x 350 miles/trip x $.365/mile = $767 Lodging: 3 trips x 2 people x 1 night/trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480 ◆ **Subtotal: $1,547** **TOTAL: $5,667**
Equipment	0	0	0	0	No equipment requested

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Supplies	$1,340	$2,160		$3,500	◆ Laptop computer for use in client intakes – Federal Funds = $1,340 ◆ Consumable supplies (paper, pens, etc.) – Non-federal cash $100/mo x 12 months = $1,200 ◆ Copying – Non-federal cash $80/mo x 12 months = $960 **TOTAL: $3,500**
Contractual	$150,000		$50,000	$200,000	Contracts to A,B,C Contractor A to deliver supplies – Federal funds = $75,000 Contractor B to print materials – Federal funds= $75,000 Contractor C for logistical support– Non-Federal = $50,000 **TOTAL: $200,000**
Other	$11,250	$2,000		$13,250	◆ Subaward to ABC to conduct training – Federal funds = $10,000 ◆ Printing brochures – Federal funds (25,000 @ $0.05 each) = $1,250 ◆ Registration fee for annual ABC conference – Non-federal cash = $200 ◆ Postage – Non-Federal Cash ($150/mo x 12 months) = $1,800 **TOTAL $3,250**
Indirect Costs	$12,000	$1,000	$1,000	$14,000	◆ Rent – Federal funds ($1,000/mos. x 12 months) = $12,000 ◆ Utilities – Non-federal cash = $1,000 ◆ Administrative Support – Non-Federal In-Kind 100 hours x $10/hour = $1,000 **TOTAL $14,000**
TOTALS	**$231,310**	**$11,707**	**$51,000**	**$294,017**	