



SF-424 Application Guide

A guide developed and maintained by HRSA for preparing and submitting applications through Grants.gov to HRSA using the SF-424 Non-Construction Application Kit

To be used with HRSA funding opportunity announcements (FOAs) specifying the use of the SF-424 Non-Construction Application Kit

Updated June 14, 2013

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1. INTRODUCTION

1.1. About HRSA

HRSA's mission is to improve health and achieve health equity through access to quality services, a skilled health workforce and innovative programs. HRSA provides access to essential health care services for people who are low-income, uninsured, or live in rural areas or urban neighborhoods where access to or availability of health care is limited. Comprising six bureaus and ten offices, HRSA provides leadership and financial support to health care providers in every state and U.S. territory. HRSA-funded health centers provide medical care to more than 20 million patients each year at more than 8,500 sites nationwide. HRSA grantees provide health care to uninsured people, people living with HIV/AIDS, and pregnant women, mothers and children. They train health professionals and improve systems of care in rural communities.

HRSA oversees organ, bone marrow and cord blood donation. It supports programs that compensate individuals harmed by vaccination and maintains databases that protect against health care malpractice and health care waste, fraud and abuse. For more information please visit our website at <http://www.hrsa.gov>.

1.2. Document Purpose and Scope

The purpose of this document is to provide detailed instructions to help applicants and grantees prepare and submit [new](#), [competing continuation](#), and [competing supplements](#) applications electronically to HRSA through Grants.gov. This SF-424 Application Guide is specific to funding opportunity announcements using the Application for Federal Assistance SF-424 Non-Construction** application kit. **All applicants must submit electronically through Grant.gov.** This Guide is intended to be the comprehensive source of general information related to the application preparation and submission process and will be updated periodically. This document does not replace program-specific guidance provided in funding opportunity announcements (FOAs).

Note: As of October 1, 2010 current grantees are no longer required to submit a full [grant](#) application to determine eligibility for funding of a successive budget period within their approved project period. Instead, grantees need only to submit the streamlined [Non-Competing Continuation \(NCC\) Progress Report](#) for continued funding of the next budget period. For details and user guides, please visit <http://www.hrsa.gov/grants/noncompetingcontinuations/index.html>.

**Applicants applying for Research or Training awards that require the SF-424 Research and Related (R&R) application kit should refer to HRSA's *SF-424 R&R Application Guide* for guidance.

1.3. Document Version Control

This document is periodically updated and maintained by HRSA's Office of Federal Assistance Management, Division of Grants Policy.

1.4. Summary of Significant Changes

N/A at this time.

2. ***POLICIES, ASSURANCES, DEFINITIONS AND OTHER INFORMATION***

2.1 HHS Grants Policy Statement

HRSA [grant](#) and [cooperative agreement](#) awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. This includes any requirements in Parts I and II of the HHS GPS that apply to the award. The HHS GPS is available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. The general [terms and conditions](#) in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the [NoA](#)).

2.2 Administrative and National Policy Requirements

Successful applicants must comply with the administrative requirements outlined in 45 CFR Part 74 [Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations](#) or 45 CFR Part 92 [Uniform Administrative Requirements For Grants And Cooperative Agreements to State, Local, and Tribal Governments](#), as appropriate.

Standards for Financial Management

Recipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR 74.21 or 92.20, as applicable. The financial systems must enable the recipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient to compare actual expenditures or outlays with the approved budget for the award.

HRSA funds must retain their award-specific identity—they may not be commingled with state funds or other Federal funds. [“Commingling funds” typically means depositing or recording funds in a general account without the ability to identify each specific source of funds for any expenditure.]

See “Financial Management” in the *HHS Grants Policy Statement* for additional information.

Non-Discrimination Requirements

To serve persons most in need and to comply with Federal law, services must be widely accessible. Services must not discriminate on the basis of age, disability, sex, race, color, national origin or religion. The HHS Office for Civil Rights provides guidance to grant and [cooperative agreement](#) recipients on complying with civil rights laws that prohibit discrimination on these bases. Please see <http://www.hhs.gov/ocr/civilrights/understanding/index.html>. HHS also provides specific guidance for recipients on meeting their legal obligation under Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in programs and activities that receive Federal financial assistance (P.L. 88-352, as

amended and [45 CFR Part 80](#)). In some instances a recipient's failure to provide language assistance services may have the effect of discriminating against persons on the basis of their national origin. Please see <http://www.hhs.gov/ocr/civilrights/resources/laws/revisedlep.html> to learn more about the Title VI requirement for grant and cooperative agreement recipients to take reasonable steps to provide meaningful access to their programs and activities by persons with limited English proficiency.

Trafficking in Persons

Awards issued under HRSA [FOAs](#) 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.hrsa.gov/grants/trafficking.html>.

Smoke-Free Workplace

The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law (P.L.) 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

Affordable Care Act Outreach and Education

It is important to note that a healthier country is one in which more Americans are able to access the care they need to prevent the onset of disease and manage disease when it is present. Insurance coverage is strongly related to better health outcomes for both children and adults. Access to insurance improves health outcomes by helping people obtain preventive and screening services, prescription drug benefits, mental health and other services, and by improving continuity of care.

The Affordable Care Act (ACA), the health care law of 2010, creates new state-based marketplaces, also known as exchanges, to offer millions of Americans new access to affordable health insurance coverage. Individuals with incomes between 100 to 400 percent FPL may be eligible to receive advance payments of premium tax credits and/or cost-sharing reductions to help pay for the cost of enrolling in a qualified health insurance plan and paying for coverage of essential health benefits. In states that choose to participate in the ACA expansion of Medicaid to non-disabled adults with incomes of up to 133 percent of Federal Poverty Level (FPL), this provision will provide new coverage options for many individuals who were previously ineligible for Medicaid. In addition, the law helps make prevention affordable and accessible for Americans by requiring health plans to cover certain recommended preventive services without cost sharing.

Outreach efforts would ensure that families and communities understand these new developments and would provide eligible individuals the assistance they need to secure and retain coverage as smoothly as possible during the transition and beyond. You are encouraged to share information with your beneficiaries about these options and to assist them, to the extent it is an appropriate activity under your grant, in enrolling in available insurance plans or in finding other available sources of payment for the services you provide.

For more information on the marketplaces and the health care law, visit <http://www.healthcare.gov/>.

Cultural and Linguistic Competence

HRSA programs serve culturally and linguistically diverse communities and multiple cultures. Although race and ethnicity are often thought to be dominant elements of culture, HRSA-funded programs embrace a broader definition to incorporate diversity within specific cultural groups including, but not limited to, cultural uniqueness within Native American populations, Native Hawaiian, Pacific Islanders, and other ethnic groups, language, gender, socio-economic status, sexual orientation and gender identity, physical and mental capacity, age, religion, housing status, and regional differences. Organizational behaviors, practices, attitudes, and policies across all HRSA-supported entities respect and respond to the cultural diversity of communities, clients and students served. HRSA is committed to ensuring access to quality health care for all. Quality care means access to services, information, materials delivered by competent providers in a manner that factors in the language needs, cultural richness, and diversity of populations served. Quality also means that, where appropriate, data collection instruments used should adhere to culturally competent and linguistically appropriate norms. For additional information and guidance, refer to the National Standards for Culturally and Linguistically Appropriate Services in Health Care (CLAS) published by HHS and available online at <http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15> as well as the free online training resources on <https://www.thinkculturalhealth.hhs.gov/>. Additional cultural/linguistic competency and health literacy tools, resources and definitions are available online at <http://www.hrsa.gov/culturalcompetence> and <http://www.hrsa.gov/healthliteracy>.

Healthy People 2020

Healthy People 2020 is a national initiative led by HHS that sets priorities for all HRSA programs. The initiative has four overarching goals: (1) attain high-quality, longer lives free of preventable disease, disability, injury, and premature death; (2) achieve health equity, eliminate disparities, and improve the health of all groups; (3) create social and physical environments that promote good health for all; and (4) promote quality of life, healthy development, and healthy behaviors across all life stages. The program consists of over 40 topic areas, containing measurable objectives. HRSA has actively participated in the work groups of all the topic areas and is committed to the achievement of the Healthy People 2020 goals. More information about Healthy People 2020 may be found online at <http://www.healthypeople.gov/>.

Integrating Primary Care and Public Health

Integration of primary care and public health links people, policy, programs and activities to increase efficiency and effectiveness and ultimately improve population health. Both primary care and public health emphasize prevention as a key driver of better health, and integration of the two fields can transform our focus on disease and treatment to health and wellness, as well as maximize our health care system investment. Integration occurs on a continuum and includes mutual awareness, cooperation, collaboration and partnership. Successful integration requires primary care and public health to work together along this continuum and address social and environmental determinants of health, engage communities, align leadership, develop the healthcare workforce, sustain systems, and share and collaborate on the use of data and analysis – all with an eye toward achieving a shared goal of population health improvement. Integration of primary care and public health is a major focus for HRSA and HHS, and to the extent possible, applicants should consider ways to integrate primary care and public health in the activities they pursue. More information can be found at <http://www.hrsa.gov/publichealth/>.

National HIV/AIDS Strategy (NHAS)

The National HIV/AIDS Strategy (NHAS) has three primary goals: (1) reducing the number of people who become infected with HIV; (2) increasing access to care and optimizing health outcomes for people living with HIV; and (3) reducing HIV-related health disparities. The NHAS states that more must be done to ensure that new prevention methods are identified and that prevention resources are more strategically deployed. Further, the NHAS recognizes the importance of early entrance into care for people living with HIV to protect their health and reduce their potential of transmitting the virus to others. HIV disproportionately affects people who have less access to prevention, care and treatment services and, as a result, often have poorer health outcomes. Therefore, the NHAS advocates adopting community-level approaches to identify people who are HIV-positive but do not know their serostatus and reduce stigma and discrimination against people living with HIV.

To the extent possible, program activities should strive to support the three primary goals of the NHAS. As encouraged by the NHAS, programs should seek opportunities to increase collaboration, efficiency, and innovation in the development of program activities to ensure success of the NHAS. Programs providing direct services should comply with federally-approved guidelines for HIV Prevention and Treatment (see <http://www.aidsinfo.nih.gov/Guidelines/Default.aspx> as a reliable source for current guidelines). More information can also be found at <http://www.whitehouse.gov/administration/eop/onap/nhas>.

The NHAS also calls for improved federal coordination of HIV/AIDS programs, as evidenced by streamlining and standardizing data collection and reducing reporting requirements for grantees. During 2012, the Office of HIV/AIDS and Infectious Disease Policy in HHS worked with a group of Federal Agencies, National Partners and grantees to identify indicators, data systems, and elements used across HHS programs to monitor HIV prevention, treatment, care services. A set of common indicators is being implemented within 7 domains: 1) HIV testing; 2) Late HIV diagnosis; 3) Initial linkage to HIV medical care; 4) Retention/engagement in HIV medical care; 5) ARV Therapy; 6) Viral Load suppression; and 7) Housing Status. These indicators are covered under the Ryan White HIV/AIDS Program Services Report (RSR) that grantees and service providers report to HRSA on an annual basis, and thus HRSA/HAB will be positioned to calculate and report on these indicators.

Health IT

Health information technology (Health IT) provides the basis for improving the overall quality, safety and efficiency of the health delivery system. HRSA endorses the widespread and consistent use of health IT, which is the most promising tool for making health care services more accessible, efficient and cost effective for all Americans.

Related Health IT Resources:

- [Health Information Technology \(HHS\): http://www.healthit.gov/](http://www.healthit.gov/)
- [What is Health Care Quality and Who Decides? \(AHRQ\): http://www.ahrq.gov](http://www.ahrq.gov)

2.3 Compliance Requirements at a Glance

| Compliance Requirements at a Glance | | | |
|-------------------------------------|---|--|-----------------------------------|
| Recipient Type | Administrative Requirements | Cost Principles | Audit Requirements |
| State, Local, & Tribal Governments | 45 CFR Part 92 (A-102) | 2 CFR Part 225 (A-87) | A-133 (PDF) |
| Colleges & Universities | 45 CFR Part 74 (A-110) | 2 CFR Part 220 (A-21) | 45 CFR Part 74.26 |
| Non-Profits | | 2 CFR Part 230 (A-122) | |
| Hospitals | | 45 CFR Part 74, Appx. E | |
| For-Profits | | 48 CFR Subpart 31.2 (FAR 31.2) | |
| Foreign | | As stated above for each grantee type | |

2.4 Assurances and Certifications

Complete Application Form SF-424B Assurances – Non-Construction Programs.

Use the Certifications and Disclosure of Lobbying Activities Application Form provided with the application package.

2.5 References

About HRSA

<http://www.hrsa.gov/about/index.html>

Grants.gov Applicant User Guide

http://www.grants.gov/assets/Applicant-User-Guide_v5.1.pdf

How to Apply for a Grant

<http://www.hrsa.gov/grants/apply/index.html>

Tips for Preparing Grant Proposals

<http://www.hhs.gov/asfr/ogapa/grantinformation/apptips.html>

System for Award Management ([SAM](#)) – (CCR transitioned into this system in July 2012)

<https://www.sam.gov>

2.6 Definitions

| Term | Definition |
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| Administrative Requirements | The general practices that are common to the administration of grants, such as financial accountability, reporting, equipment management, and retention of records. |
| Allocable Cost | A cost that is allocable to a particular cost objective (i.e., a specific function, grant project, service, department, or other activity) in accordance with the relative benefits received. A cost is allocable to a Federal award where it is treated consistently with other costs incurred for the same purpose in like circumstances and (1) is incurred specifically for the award, (2) benefits both the award and other work and can be distributed in reasonable proportion to the benefits received, and (3) is necessary for the overall operation of the organization. |
| Allowable Cost | A cost incurred by a recipient that is reasonable for the performance of the award; allocable; in conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost or in the NoA as to the type or amount of cost; consistent with regulations, policies, and procedures of the recipient that 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; and not included as a cost in any other federally supported award (unless specifically authorized by statute). |
| Assurance | A written statement by an applicant, normally included with the application, indicating that it will abide by a particular requirement if a grant is awarded. |
| Authorized Organization Representative (AOR) | An AOR is a role in Grants.gov. AORs are the individuals named by the applicant/recipient organization, who are authorized to act for the applicant/recipient and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or awards. AORs are approved by the organization's E-Business Point of Contact and are authorized and designated to submit applications through Grants.gov on behalf of an organization. |
| Authorizing Official (AO) | An Authorizing Official is a role in the HRSA Electronic Handbooks (EHBs). In the event that an application or portion of an application is to be submitted through the EHBs (IF indicated in the FOA), this individual is responsible for certifying and submitting it to HRSA. |
| Award | The document that provides HRSA funds to a recipient to carry out an approved program or project (based on an approved application or progress report). The term, when used as a noun, is sometimes used interchangeably with "grant" or "cooperative agreement." |
| Budget Periods | The intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes. Funding of |

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| | individual budget periods sometimes is referred to as “incremental funding.” |
| Chief Grants Management Officer (CGMO) | The CGMO is HRSA’s representative on grants policy directives and grants administration matters. |
| Competing Continuation Application | A request for funding to renew, by one or more additional budget periods (described as a “competitive segment”), a project period that would otherwise expire. This type of application is sometimes referred to as “renewal.” These applications must compete for support in the same manner as new applications. |
| Competing Supplement Application | A request in response to an FOA for an increase in support in a current budget period for expansion of the scope of the approved project or program. |
| Cooperative Agreement | A financial assistance support mechanism used when there will be substantial Federal programmatic involvement. Substantial involvement means that HRSA program staff will collaborate or participate in project or program activities as specified in the NoA . |
| Cost Principles | The government-wide principles, issued by OMB (or, in the case of commercial organizations, the Federal Acquisition Regulation, or in the case of hospitals, 45 CFR part 74, Appendix E , “Principles For Determining Costs Applicable to Research and Development Under Grants and Contracts With Hospitals”), on allowability and unallowability of costs under federally sponsored agreements. |
| Cost Sharing | The portion of project or program costs not borne by the Federal government. It may include the value of allowable third party in-kind contributions, as well as expenditures by the recipient. Costs used to satisfy matching or cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget. |
| DUNS Number | A nine-digit number established and assigned by Dun and Bradstreet to uniquely identify a business entity. |
| Equipment | An article of tangible nonexpendable personal property that has a useful life of more than one (1) year and an acquisition cost of \$5,000 or more per unit or the capitalization threshold established by the recipient, whichever is less. |
| Executive Order 12372 (Intergovernmental Review of Federal Programs) | The source of the requirement that State and local officials review certain proposed Federal financial assistance. For those States that participate in the process, a single State official or organization is designated for coordination of the review process and to send official State process comments and recommendations to Federal agencies. These State officials or organizations are referred to as State Single Points of Contact. (45 CFR part 100, “Intergovernmental Review of Department of Health and Human Services Programs and Activities.” is the HHS implementation of the Executive order.) |
| Funding Opportunity Announcement (FOA) | HRSA’s formally issued announcement of the availability of Federal funding through one of its financial assistance programs. The |

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| | announcement invites applications and provides such information as eligibility and evaluation criteria, funding preferences/priorities, how to obtain application kits, and the submission deadline. |
| Funding Preference | The funding of a specific category or group of applications ahead of other categories or groups of applications that are recommended for approval. If the authorizing legislation provides a funding preference for some applicants, applicants that meet the criteria for the preference will be placed in a more competitive position among applications that can be funded. Applications that do not receive a Funding Preference will be given full and equitable consideration during the review process. |
| Funding Priority | The favorable adjustment of combined review scores of individually approved applications when applications meet specified criteria. An adjustment is made by a set, pre-determined number of points. |
| Funding Special Consideration | The enhancement of priority scores by objective reviewers based on the extent to which the application addresses areas of concern in a discretionary program. |
| Grant | A financial assistance support mechanism providing money, property or other direct assistance in lieu of money, or both, to an eligible entity to carry out an approved project or activity in support of a public purpose and not the direct benefit of the government. A grant is used whenever HRSA anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities. |
| Grants Management Officer (GMO) | <p>The GMO is the official whose name appears on the NoA and is the individual designated to serve as the HHS official responsible for the business and non-programmatic management aspects of a particular grant(s) or cooperative agreement(s). In this capacity, the GMO is responsible for all Federal business management matters associated with the review, negotiation, award, and administration of the assigned grants and interprets grants administration policies and provisions. The Grants Management Officer also serves as the counterpart to the business officer of the recipient organization.</p> <p>The GMO is the only official authorized to obligate HRSA to the expenditure of Federal funds or to change the funding, duration, or other terms and conditions of an award.</p> |
| Grants Management Specialist (GMS) | The GMS works with the GMO on the day-to-day business and nonprogrammatic management of a portfolio of HRSA grants and cooperative agreements. The GMS performs many of the activities described above on behalf of the GMO and is usually the primary point of contact for recipients when dealing with grant-related issues. He/she also works closely with the Federal project officer (PO) or program official aka program contact. |
| Indirect Cost Rate | The rate negotiated by the cognizant Federal agency that is used as the basis for reimbursing indirect costs. The rate may be applicable |

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| | to an entire organization, on-site activities or off-site activities only, a particular site, or specified activities. The rate must be effective for the period for which reimbursement is claimed. Rates may be fixed, predetermined, provisional, or final, consistent with the applicable Federal cost principles. |
| Indirect Cost Rate Agreement | The document that formalizes the establishment of an indirect cost rate(s) and provides information on the proper application of the rate(s). |
| Indirect Costs | Costs incurred for common or joint objectives which cannot be readily and specifically identified with a particular project or program but are necessary to the operations of the organization, e.g., the cost of operating and maintaining facilities, depreciation, and administrative salaries. For institutions subject to 2 CFR Part 220 (formerly OMB Circular A-21), the term “facilities and administration” is used to denote indirect costs. |
| Letter of Intent | A preliminary, non-binding indication of an organization’s intent to submit an application. |
| Local Government | A county, municipality, city, town, township, local public authority (including any public and Indian housing agency), school district, special district, intra-State district, council of governments (whether or not incorporated under State law), any other regional or interstate government entity (such as regional planning agencies), or any agency or instrumentality of a local government. The term does not include institutions of higher education and hospitals. |
| Matching | See Cost Sharing . |
| Maintenance of Effort | A requirement contained in the authorizing statute or program regulations stating that, in order to receive Federal grant funds, a recipient must agree to maintain a specified level of financial effort (using a specified baseline period, such as the year prior to the initiation of grant support) for the grant from its own resources and other non-Federal sources. |
| New Application | A request for financial assistance for a project or activity that is not currently receiving support, which must compete for support unless justified as a single-source application. |
| Non-Competing Continuation | Funding for the second or subsequent budget period within an approved competitive segment that is released following submission and HRSA approval of a progress report. A non-competing continuation application does not compete with other applications for support. For details and user guides, please visit http://www.hrsa.gov/grants/noncompetingcontinuations/index.html . |
| Non-profit Organization | Any corporation, trust, association, cooperative, or other organization that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized for profit; and uses net proceeds to maintain, improve, or expand the operations of the organization. Non-profit organizations include institutions of higher educations, hospitals, and tribal organizations |

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| | (that is, Indian entities other than federally recognized Indian tribal governments). |
| Notice of Award (NoA) | The NoA is the official document, signed (or the electronic equivalent of signature) by a GMO that: (1) notifies the recipient of the award of a grant; (2) contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, (3) provides the documentary basis for recording the obligation of Federal funds in the HRSA accounting system. |
| Objective Review | An advisory review of discretionary grant applications conducted by unbiased reviewers with expertise in the programmatic area for which applications are submitted. |
| Pre-Award Costs | Costs incurred prior to the beginning date of the project period, in anticipation of an award and at the applicant's own risk, for otherwise allowable costs. |
| Program Contact (PC) | HRSA staff person listed in the FOA to answer programmatic questions. |
| Progress Report | Periodic, usually annual, reports submitted by the recipient and used by HRSA to assess progress and, except for the final progress report, to determine whether to provide funding for the budget period subsequent to that covered by the report. |
| Project Officer / Program Official (PO) | The PO is the HRSA official responsible for the programmatic, scientific, and/or technical aspects of assigned applications and grants. The PO's responsibilities include, but are not limited to, development of programs to meet HRSA's mission; preparation of FOAs; provision of programmatic technical assistance; post-award monitoring of project/program performance, including review of progress reports and making site visits; and other activities complementary to those of the GMS. The PO and the GMS work as a team in many of these activities. For the purposes of this document, the PO may also be referred to as the program contact (PC). |
| Project Or Program Costs | The total allowable costs incurred by a recipient (and the value of in-kind contributions made by third parties) in accomplishing the objectives of the award during the project period. |
| Project Period | The total time for which support of a project has been programmatically approved. The total project period comprises the initial competitive segment, any subsequent competitive segments resulting from a competing continuation award, and any non-competing extensions. Project periods are comprised of 12-month budget periods . |
| Reasonable Cost | A cost whose nature or amount does not exceed that which would be incurred by a prudent person under the circumstances prevailing when the decision was made to incur the cost. |
| Recipient | The organization or individual that receives a grant or cooperative agreement award from HRSA and is responsible and accountable for the use of the funds provided and for the performance of the |

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| | grantsupported project or activity. The recipient is the entire legal entity even if a particular component is designated in the NoA . The term includes “grantee” and “awardee.” |
| Research | <p>A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. Also termed “research and development.”</p> <p>NOTE: Applicants applying for Research grants and using the SF-424 R&R should refer to the Application Guide for SF-424 R&R (Research) for guidance.</p> |
| Research Misconduct | <p>Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that research is not accurately represented in the research record. Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit. The term does not include honest error or differences of opinion</p> |
| State Government | <p>Unless otherwise defined in programmatic statute, the government of any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any U.S. territory or possession, or any agency or instrumentality of a State exclusive of local governments. State institutions of higher education and State hospitals are not considered State governments for purposes of the HHS general administrative requirements for grants and the HHS GPS.</p> |
| Subaward | <p>A legal instrument by which a recipient provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include any form of assistance which is excluded from the definition of “grant,” including the recipient’s procurement of property or services needed to carry out the project or program. The term includes consortium agreements.</p> |
| Subrecipient | <p>An entity that receives a subaward from a recipient or another subrecipient under an award of financial assistance and is accountable to the recipient or other subrecipient for the use of the Federal funds provided by the subaward.</p> |
| Substantive Programmatic Work | <p>The primary project activities for which grant support is provided.</p> |
| Supplies | <p>Personal property other than equipment, intangible property, and debt</p> |

| | |
|-----------------------------------|--|
| | instruments. The category of “supplies” includes items that could be considered equipment, but do not meet the threshold definition. |
| System for Award Management (SAM) | The System for Award Management (SAM) replaced the Central Contractor Registration (CCR) (as of July 30, 2012) and is the central government repository for organizations working with the Federal government. |
| Tangible Property | Equipment , supplies, and any other property other than that defined as intangible property. It also does not include copyrights, patents, and other intellectual property that is generated or developed (rather than acquired) under an award. |
| Terms and Conditions of Award | All legal requirements imposed on a grant by HRSA, whether based on statute, regulation, policy, or other document referenced in the NoA , or specified by the NoA itself. In addition to general terms and conditions, the NoA may include other conditions that are considered necessary to attain the award’s objectives, facilitate post-award administration, conserve grant funds, or otherwise protect the Federal government’s interests |
| Third-Party In-Kind Contributions | The value of non-cash contributions directly benefiting a grant-supported project or program that is provided by non-Federal third parties to the recipient, the subrecipient , or a cost-type contractor under the grant or subgrant without charge. In-kind contributions may be in the form of real property, equipment , supplies and other expendable property, and goods and services directly benefiting and specifically identifiable to the project or program. |
| Total Project Or Program Costs | The total allowable costs (both direct and indirect) incurred by the recipient to carry out a grant-supported project or activity. Total project or program costs include costs charged to the award and costs borne by the recipient to satisfy a matching or cost-sharing requirement. |
| Training Project | A type of discretionary grant support designed to provide student or staff training in techniques pertaining to research or the delivery of certain services. NOTE: Applicants applying for Training grants and using the SF-424 R&R should refer to the Application Guide for SF-424 R&R for guidance. |

2.7 Acronyms

| | |
|-------------|---|
| AO | Authorizing Official |
| AOR | Authorized Organization Representative |
| BCRS | Bureau of Clinical Recruitment and Service |
| BHPr | Bureau of Health Professions |
| BPHC | Bureau of Primary Health Care |
| CCR | Central Contractor Registration (now defunct) |
| CFDA | Catalog of Federal Domestic Assistance |
| CFR | Code of Federal Regulations |

| | |
|------------------|---|
| CGMO | Chief Grants Management Officer |
| CLAS | Culturally and Linguistically Appropriate Services |
| DCA | Division of Cost Allocation |
| DSO | Digital Services Operation |
| DUNS | Data Universal Numbering System |
| E-Biz POC | E-Business Point of Contact |
| EHBs | Electronic Handbooks |
| EIN | Employer Identification Number |
| EO | Executive Order |
| FAQ | Frequently Asked Questions |
| FAR | Federal Acquisition Regulation |
| FFATA | Federal Funding Accountability and Transparency Act |
| FOA | Funding Opportunity Announcement |
| FY | Fiscal Year |
| F&A | Facilities and Administration |
| GMO | Grants Management Officer |
| GMS | Grants Management Specialist |
| GPS | Grants Policy Statement |
| HAB | HIV/AIDS Bureau |
| HHS | Health and Human Services |
| HRSA | Health Resources and Services Administration |
| HSB | Healthcare Systems Bureau |
| IE | Internet Explorer |
| MCHB | Maternal and Child Health Bureau |
| MPIN | Marketing Partner ID Number |
| NCC | Noncompeting Continuation |
| NHAS | National HIV/AIDS Strategy |
| NoA | Notice of Award |
| OFAM | Office of Federal Assistance Management |
| OMB | Office of Management and Budget |
| ORHP | Office of Rural Health Policy |
| ORO | Office of Regional Operations |
| OS | Operating System |
| PC | Program Contact |
| PD | Project Director |
| P.L. | Public Law |
| PMS | Payment Management System |
| PO | Project Officer / Program Official |
| POC | Point of Contact |
| R&R | Research and Related |
| SAM | System for Award Management |
| SF | Standard Form |
| SPOC | Single Point of Contact |
| TA | Technical Assistance |
| TIN | Tax Identification Number |

3 REGISTERING AND APPLYING THROUGH GRANTS.GOV

HRSA **requires** applicants for FOAs to apply electronically through Grants.gov.

Applicants are responsible for reading and complying with the Grants.gov Applicant User Guide, available online at <http://www.grants.gov/assets/ApplicantUserGuide.pdf>.

Grants.gov requires a one-time registration by the applicant organization and annual updating. **If you do not complete the registration and update it annually, you will not be able to submit an application.**

The five-step registration process must be completed by every organization wishing to apply for a HRSA grant opportunity. The process will take anywhere from five business days to one month. **First-time applicants or those considering applying in the future should register immediately.** Registration with Grants.gov provides the representatives from the organization with the required credentials necessary to submit an application.

3.1. REGISTER – Applicant Organizations Must Obtain DUNS Number, Register with SAM and Grants.gov (if not already registered)

If an applicant/grantee organization has already completed Grants.gov registration for HRSA or another Federal agency, confirm that it is still active and that the [Authorized Organization Representative \(AOR\)](#) has been approved, then skip to the next section.

For those applicant organizations still needing to register with Grants.gov, detailed registration information can be found on Grants.gov under *Get Registered* (http://www.grants.gov/applicants/get_registered.jsp). These instructions will walk you through the following five basic registration steps:

Step 1: Obtain a Data Universal Numbering System (DUNS) Number

A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. Ask your grant administrator or Chief Financial Officer to provide your organization's DUNS Number. If your organization does not have a DUNS Number, you may request one online at <http://fedgov.dnb.com/webform> or call the Dun & Bradstreet hotline at 1-800-705-5711 (for the U.S. and U.S. Virgin Islands) or 1-800-234-3867 (for Puerto Rico) to receive one free of charge. Once you have completed the registration, your DUNS Number will be available the same day. Note: a missing or incorrect DUNS number is the primary reason for applications being "Rejected for Errors" by Grants.gov.

Step 2: Register with the System for Award Management (SAM)

The System for Award Management (SAM) replaced the Central Contractor Registration (CCR) (as of July 30, 2012) and is the central government repository for organizations working with the Federal government.

SAM will reduce the burden on those seeking to do business with the government. Vendors will be able to log into one system to manage their entity information in one record, with one expiration date, through one streamlined business process. Federal agencies will be able to look in one place for entity pre-award information. Everyone will have fewer passwords to

remember and see the benefits of data reuse as information is entered into SAM once and reused throughout the system.

Active SAM registration is a pre-requisite to the successful submission of grant applications!

Items to consider are:

- When does the account expire?
- Does the organization need to complete the annual renewal of registration?
- Who is the E-Business point of contact (E-Biz POC)? Is this person still with the organization?
- Does anything need to be updated?

To learn more about SAM, please visit <https://www.sam.gov>. For help using SAM, contact the Service Desk at <http://www.FSD.gov>.

Note: SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Grants.gov will reject submissions from applicants with expired registrations. Do not wait until the last minute to register in SAM. According to the SAM Quick Guide for Grantees

(https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations_v1.7.pdf), an entity's registration will become active after 3-5 days. Therefore, ***check for active registration well before the application deadline.***

Applicants that fail to allow ample time to complete registration with SAM or Grants.gov will not be eligible for a deadline extension or waiver of the electronic submission requirement.

Check to see if your organization is already registered at the SAM Web site. If your organization is not registered, identify the primary contact who should register your organization. Visit the SAM Web site at <http://www.sam.gov> to register online or call 1-888-606-8220 to register by phone. SAM Registration must be renewed annually. Before registering, applicants and recipients should review the SAM Registration user guide at https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations_v1.7.pdf. If after having registered in SAM, you experience any registration problems, you can get help from the Federal Service Desk at <https://www.fsd.gov>.

You must designate the organization's E-Biz POC who will create the organization's Marketing Partner ID Number (MPIN) password. The E-Biz POC will use the MPIN to designate [AORs](#) through Grants.gov. The SAM Registration must become active before you can proceed to step 3.

Step 3: Creating a Username & Password

- To submit a grant application on behalf of an organization, you must be registered as an [Authorized Organization Representative \(AOR\)](#).
- AORs must create a short profile and obtain a username and password from the Grants.gov Credential Provider.
- AORs will only be authorized for the [DUNS](#) number registered in the Grants.gov profile.

Step 4: AOR Authorization

- The E-Biz POC uses the DUNS number and MPIN to authorize your AOR status.
- Only the E-Biz POC may authorize AORs.
- Only approved/authorized AORs may submit on behalf of an organization.

Step 5: Track AOR Status

- Using your username and password from Step 3, go to Grants.gov under Applicant Login to check your AOR status at <https://apply07.grants.gov/apply/login.faces?userType=applicant&cleanSession=1>.

Allow for extra time if an applicant does not have a Tax Identification Number (TIN) or Employer Identification Number (EIN). SAM validates the EIN against Internal Revenue Service records, a step that will take an additional one to five business days.

Additional assistance with the registration process is available at Grants.gov at http://www.grants.gov/applicants/get_registered.jsp. A variety of support options is available through the online Help feature, including Context-Sensitive Help, Online Tutorials, FAQs, Training Demonstrations, User Guides (<http://www.grants.gov/assets/ApplicantUserGuide.pdf>), and Quick Reference Guides.

Please direct questions regarding Grants.gov registration to the Grants.gov Call Center at: 1-800-518-4726 (International callers, please dial 606-545-5035). Call Center hours of operation are 24 hours a day, 7 days a week, excluding Federal holidays. You may also receive assistance via email at support@grants.gov or access the self-service web portal at <http://grants.gov/iportal>.

 **NOTE:** It is HIGHLY recommended that this registration process is completed at least TWO WEEKS prior to the submittal date of your organization's first Grants.gov submission.

3.2. APPLY - Apply through Grants.gov

Grants.gov includes a simple, unified application process to enable applicants to apply for grants online. The information applicants need to understand and execute the steps can be found at Grants.gov under the *For Applicants* section under *Apply for Grants* (http://www.grants.gov/applicants/apply_for_grants.jsp). Step 2, Complete the Grant Application Package, includes a narrated online tutorial on how to complete a grant application package using Adobe. The site also contains an *Applicant User Guide* at <http://www.grants.gov/assets/ApplicantUserGuide.pdf>.

*The application will be one of three announcement types indicated on the cover of the FOA: [new](#), [competing continuation](#), and [competing supplements](#). All competing applications are submitted electronically to HRSA through Grants.gov using the [Application for Federal Assistance SF-424 form](#)***

**Applicants applying for Research or Training awards that require the SF-424 [Research and Related \(R&R\)](#) application kit should refer to HRSA's *SF-424 R&R Application Guide* for guidance.

3.2.1. Find Funding Opportunity

If you are submitting a competing application, search for the announcement in Grants.gov under *Find Grant Opportunities* (http://www.grants.gov/applicants/find_grant_opportunities.jsp) and select the announcement for which you wish to apply. Refer to the [FOA](#) for eligibility criteria.

 **NOTE:** All competing announcements will be available in the Find Grant Opportunities section of Grants.gov. When funding opportunities are released, announcements are made available in the Apply for Grants section of Grants.gov.

If you are submitting a [competing continuation](#) or [competing supplement](#) application, search for the announcement under *Apply for Grants* (http://www.grants.gov/applicants/apply_for_grants.jsp). Enter the announcement number provided in the field, Funding Opportunity Number. (Example announcement number: HRSA-13-001.)

 **NOTE:** Announcements with restricted eligibility are not available under the Find Grant Opportunities function in Grants.gov. They will be available under the Apply for Grants function.

3.2.2. Download Application Package

Download the application package and instructions. Application packages are posted in Adobe Reader format. To ensure that you can view the application package and instructions, you should download and install the Adobe Reader application. The application package will be saved to your computer, completed offline, and then uploaded to Grants.gov at the time of submission.

For more information on using Adobe Reader, refer to [Section 8.1.2](#).

 **NOTE:** Please review the system requirements for Adobe Reader at http://www.grants.gov/help/download_software.jsp.

3.2.3. Complete the Grant Application Package

Complete the application using both the built-in instructions and the instructions provided in the [FOA](#). Ensure that you save a copy of the application on your computer. For assistance with program guidance related questions, please contact the Program Contact (PC) listed in Section VII of the FOA. For assistance with budget or other administrative related questions, please contact the [Grants Management Specialist \(GMS\)](#) listed in Section VII of the FOA.

 **NOTE:** Grantees with [competing continuations](#) and [competing supplements](#) should provide their 10-digit grant number [box 4b from the [NoA](#)] in the Federal Award Identifier field (box 5b in SF-424). **You may complete the application offline – you are not required to be connected to the Internet.**

3.2.4. Submit Application

Once you have downloaded the application package, completed all required forms, and attached all required documents—click the “Check Package for Errors” button and make any necessary corrections.

- In Adobe Reader, click on the “Save and Submit” button when you have done all of the above and are ready to send your completed application to Grants.gov.

Review the provided application summary to confirm that the application will be submitted to the program for which you wish to apply. **If you submit an application to the wrong announcement number, you must apply to the correct announcement number on or before the posted deadline.** To submit, the AOR must login to Grants.gov and enter their username and password. Note: the same [DUNS number](#), AOR username, and password must be used to complete and submit your application. Once you have logged in, your application package will automatically be uploaded to Grants.gov. A confirmation screen will appear once the upload is complete. Note that a Grants.gov Tracking Number will be provided on this screen (GRANTXXXXX). Please record this number so that you may refer to it for all subsequent help.

Please direct questions regarding application submission to the Grants.gov Call Center at: 1-800-518-4726 (International callers, please dial 606-545-5035). Call Center hours of operation are 24 hours a day, 7 days a week, excluding Federal holidays.

 **NOTE:** The AOR must be connected to the Internet and must have a Grants.gov username and password tied to the correct [DUNS number](#) in order to submit the application package.

3.2.5. Verify Status of Application in Grants.gov

Once Grants.gov has received your submission, Grants.gov will send email messages to the Project Director (PD), [Authorized Organizational Representative \(AOR\)](#), and the Point of Contact (POC) listed in the application advising of the progress of the application through the system. You will receive up to four emails. The first will confirm receipt of your application by the Grants.gov system (“Received”), and the second will indicate that the application has either been successfully validated (“Validated”) by the system prior to transmission to the grantor agency or has been rejected due to errors (“Rejected with Errors”). An application for HRSA funding must be both received **and** validated by Grants.gov by the application deadline.

Upon submission, Grants.gov will attempt to validate the application. This validation ensures that the AOR has submitted the application and that all required standard forms are complete and have the correct type of information in them. Grants.gov will also validate that the applicant’s SAM Registration is current. Grants.gov will not validate application content, attachments, page limit, or applicant eligibility.

If your application has been rejected due to an error, you must correct the application and resubmit it to Grants.gov before the posted deadline. The full verification process may take hours to days, therefore, applicants need to allow plenty of time. If you are unable to resubmit because the opportunity has since closed, you must follow the instructions in [Section 3.6](#) to request a waiver.

HRSA is very strict on adhering to application deadlines and electronic submission requirements. Waivers will not be granted for verification errors or last-minute submission errors on the part of the applicant. [The Chief Grants Management Officer \(CGMO\)](#) or designee may consider an extension of published deadlines when justified by circumstances such as natural disasters (e.g., floods or hurricanes), other disruptions of services, such as a prolonged blackout, or in the rare event of a validated technical issue on the side of the government that prevented applicants from applying before the deadline. The CGMO or designee will determine the affected geographical area(s).

You can check the status of your application(s) anytime after submission by logging into Grants.gov and clicking on the *Track My Application* link on the left side of the page (<https://apply07.grants.gov/apply/checkApplStatus.faces>). This link will also be included in the confirmation email that you receive from Grants.gov.

If there are no errors, the application will be downloaded by HRSA. Upon successful download to HRSA, the status of the application will change to “Received by Agency” and the contacts listed in the application will receive a third email from Grants.gov. Once your application is received by HRSA, it will be processed to ensure that the application is submitted for the correct funding announcement, with the correct grant number (if applicable), and applicant/grantee organization. Upon this processing, which is expected to take up to two to three business days, HRSA will assign a unique tracking number to your application. This tracking number will be posted to Grants.gov and the status of your application will be changed to “Agency Tracking Number Assigned.” You will receive the fourth email in which Grants.gov will provide the Agency Tracking Number. Record the HRSA tracking number and use it for all correspondence with HRSA.

3.3. Receipt Acknowledgement

In summary, upon receipt of an application, Grants.gov will send a series of email messages to document the progress of an application through the system.

- 1) The first will confirm receipt in the system;
- 2) The second will indicate whether the application has been successfully validated or has been rejected due to errors;
- 3) The third will be sent when the application has been successfully downloaded at HRSA; and
- 4) The fourth will notify the applicant of the Agency Tracking Number assigned to the application.

If you are trying to track your application and you have not received any emails from Grants.gov, be sure to check your spam folder. Sometimes the emails from Grants.gov are blocked by your email service.

3.4. Tracking Your Application

It is incumbent on the applicant to track their application by using the Grants.gov tracking number (GRANTXXXXXXXX) provided in the confirmation email from Grants.gov. More information about tracking an application can be found at <https://apply07.grants.gov/apply/checkApplStatus.faces>. Be sure the application is validated by Grants.gov prior to the application deadline.

3.5. Late Applications

Applications which do not meet the criteria as outlined in Section IV of the FOA will be considered late applications and will not be considered in the current competition.

3.6. Requesting a Waiver from the Electronic Submission Requirement

HRSA **requires** applicants for competing FOAs to apply electronically through Grants.gov and have the application validated on or before the deadline date and time. The registration and application process protects applicants against fraud and ensures that only authorized representatives from an organization can submit an application. Applicants are responsible for maintaining these registrations, which should be completed well in advance of submitting an application. All applicants **must** submit in this manner unless they obtain a written exemption from this requirement, within 5 days of the opportunity's closing date, by the Director of HRSA's Division of Grants Policy. Applicants must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. If requesting a waiver from the electronic submission requirements, include the following in the e-mail request: the HRSA announcement number for which the organization is seeking relief; the organization's name, address, and telephone number; the organization's [DUNS number](#); the name, address, and telephone number of the PD; as well as the Grants.gov Tracking Number (GRANTXXXXXXXX) assigned to the submission along with a copy of the "Rejected with Errors" notification as received from Grants.gov, if applicable. If case numbers were given from calling Grants.gov, please include those as well. HRSA's Division of Grants Policy is the only office authorized to grant waivers. **HRSA and its Digital Services Operation (DSO) will only accept paper applications from applicants that received prior written approval.** However, the application must still be submitted by the deadline. Suggestion: submit application to Grants.gov at least three days before the deadline to allow for any unforeseen circumstances.

HRSA is very strict on adhering to application deadlines and electronic submission requirements. Deadline extensions will not be granted for Grants.gov verification errors, last-minute registration, or submission errors on the part of the applicant. The [CGMO](#) or designee may consider an extension of published deadlines or allowance of a submission outside of the Grants.gov system, when justified by circumstances such as natural disasters (e.g., floods or hurricanes), other disruptions of services, such as a prolonged blackout, or in the rare event of a validated technical issue on the side of the government that prevented applicants from applying before the deadline. The [CGMO](#) or designee will determine the affected geographical area(s).

4. GENERAL INSTRUCTIONS FOR APPLICATION SUBMISSION

HRSA **requires all** applicants responding to an FOA to apply electronically through Grants.gov. Applicants must download the SF-424 application package associated with the funding opportunity following the directions provided at [Grants.gov](https://www.grants.gov).

The following instructions are applicable to all submissions unless otherwise noted in the relevant FOA. Failure to follow the instructions may make your application non-responsive. Non-responsive applications will not be given any consideration and the particular applicants will be notified. It is mandatory to follow the instructions provided to ensure that your application can be printed efficiently and consistently for review.

4.1. Instructions for Completing the SF-424

i. Application Face Page

Complete Application Form SF-424 provided with the application package. Prepare according to instructions provided in the form itself. Important note for applicants using SF-424: enter the name of the **Project Director** in 8. f. "Name and contact information of person to be contacted on matters involving this application." If, for any reason, the PD will be out of the office, please ensure the email Out of Office Assistant is set so HRSA will be aware if any issues arise with the application and a timely response is required. .

DUNS Number

All applicant organizations (and [subrecipients](#) of HRSA award funds) are required to have a [DUNS number](#) in order to apply for a grant or [cooperative agreement](#) from the Federal Government. Please include the DUNS number in form SF-424 - item 8c on the application face page. Applications **will not** be reviewed without a DUNS number. Note: A missing or incorrect DUNS number is the number one reason for applications being "Rejected for Errors" by Grants.gov. HRSA will not extend the deadline for applications with a missing or incorrect DUNS number. Applicants should take care in entering the DUNS number in the application.

Additionally, the applicant organization (and any subrecipient of HRSA award funds) is required to register annually with SAM in order to conduct electronic business with the Federal Government. SAM registration must be maintained with current, accurate information at all times during which an entity has an active award or an application or plan under consideration by HRSA. It is extremely important to verify that the applicant organization SAM registration is active and the Marketing Partner ID Number (MPIN) is current. Information about registering with SAM can be found at <https://www.sam.gov>.

CFDA Number

The Catalog of Federal Domestic Assistance (CFDA) Number, as listed on the cover of the FOA, is prepopulated in box 11 of the form.

ii. Intergovernmental Review (Executive Order (EO) 12372)

If an FOA is subject to [EO 12372](#), "Intergovernmental Review of Federal Programs," or not it will be stated in Section IV.4. Intergovernmental Review. Please refer to #19 on the SF-424.

If intergovernmental review applies, the following language will appear in the FOA:

PROGRAM NAME is a program subject to the provisions of Executive Order (EO) 12372, as implemented by [45 CFR 100. EO 12372](#) allows States the option of setting up a system for reviewing applications from within their States for assistance under certain Federal programs. Application packages made available under this funding opportunity will contain a listing of States which have chosen to set up such a review system, and will provide a State Single Point of Contact (SPOC) for the review. Information on States affected by this program and State Points of Contact may also be obtained from the Grants Management Specialist listed in the Agency Contact(s) section, as well as from the following Web site:
http://www.whitehouse.gov/omb/grants_spoc.

All applicants other than federally recognized Native American Tribal Groups should contact their SPOC as early as possible to alert them to the prospective applications and receive any necessary instructions on the State's process used under this EO.

Letters from the SPOC in response to EO 12372 are due sixty days after the application due date. The letter should be sent to the Program Contact and a copy to the GMS identified in Section VII of the program-specific FOA.

iii. Table of Contents

The application should be presented in the order of the Table of Contents provided in [Section 4.3](#) of this *SF-424 Application Guide*. Again, for electronic applications no table of contents is necessary as it will be generated by the system. (Note: the Table of Contents will not be counted in the page limit.)

iv. Budget

Note: the directions here differ from those offered by Grants.gov. Please follow the instructions included in the program-specific FOA and the instructions below when completing the forms.

For multi-year non-construction projects:

Please complete Sections A – F of the SF-424A Budget Information – Non-Construction Programs form included with the application kit for each year of the project period. The [budget period](#) is for ONE year. However, the applicant **must** submit one-year budgets for each of the subsequent budget periods within the requested project period at the time of application. In Section A use rows 1 - 4 to provide the budget amounts for the first four years of the project. Please enter the amounts in the “New or Revised Budget” column- not the “Estimated Unobligated Funds” column. In Section B 6. Object Class Categories of the SF-424A, provide the object class category breakdown (i.e., line item budget) for each year of the project period specified in Section A. In Section B, use column (1) to provide category amounts for Year 1 and use columns (2) through (4), if applicable, for subsequent budget years. If applicable for year 5, please submit a copy of Sections A and B of the SF-424A as an Attachment (specific attachment number will be listed in the FOA).

Section C – Non-Federal Resources: complete **only if** Section III. 2. [Cost Sharing/Matching](#) of the FOA indicates that cost sharing/matching is required. Lines 8-11 correspond to the first four years of the project. If applicable for year 5, please submit a copy of Section C of the SF-424A as an Attachment (specific attachment number will be listed in the FOA).

Section D – Forecasted Cash Needs: If no [cost sharing/matching](#) is required, complete only line 13. Federal, the first column titled “Total for 1st Year.” If cost sharing/matching is required, please complete all three lines 13. Federal, 14. Non-Federal and 15. Total (Sum of lines 13 and 14), the first column titled “Total for 1st Year.”

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project: Complete line 16. of the Future Funding Periods columns for the outyears, with (b) *First* being the 2nd year, (c) *Second* being the 3rd year, etc.

Section F – Other Budget Information
Complete as appropriate.

If the FOA notes that the program is subject to the General Provisions of P.L. 112-74, the following Salary Limitation applies:

Salary Limitation:

The Consolidated and Further Continuing Appropriations Act, 2013 (P. L. 113-6), enacted March 26, 2013, continues provisions enacted in the Consolidated Appropriations Act, 2012 (P. L. 112-74). The law limits the salary amount that may be awarded and charged to HRSA grants and cooperative agreements. Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary of the Federal Executive Pay scale is \$179,700. 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 a HRSA grant or cooperative agreement.

As an example of the application of this limitation: If an individual's base salary is \$350,000 per year plus fringe benefits of 25% (\$87,500) and that individual is devoting 50% of their time to this award, their base salary should be adjusted to \$179,700 plus fringe of 25% (\$44,925) and a total of \$112,312.50 may be included in the project budget and charged to the award for salary/fringe benefits for that individual. See the breakdown below:

| | |
|--|---------------------|
| Individual's <i>actual</i> base full time salary: \$350,000 50% of time will be devoted to project | |
| Direct salary | \$175,000 |
| Fringe (25% of salary) | \$43,750 |
| Total | \$218,750 |
| Amount that may be claimed on the application budget due to the legislative salary limitation: Individual's base full time salary <i>adjusted</i> to Executive Level II: \$179,700 50% of time will be devoted to the project | |
| Direct salary | \$89,850 |
| Fringe (25% of salary) | \$22,462.50 |
| Total amount | \$112,312.50 |

Funding Restrictions (in general)

Applicants may request no more than the ceiling amount listed in Section II.2. Summary of Funding and Section IV.5. Funding Restrictions of the FOA. Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, satisfactory progress in meeting the project's objectives, and a determination that continued funding would be in the best interest of the Federal Government.

The governing cost principles address selected items of cost. The FOA specifies unallowable costs that apply to each funding opportunity. The following list of unallowable costs is not intended to be all-inclusive. The cost principles should be consulted for the complete explanation of the allowability or unallowability of costs they address. For the full list of cost principles refer to Section 2.3 "Compliance Requirements at a Glance" to see which cost principles apply to your organization and refer to the HHS Grants Policy Statement. The allowability of costs under individual HRSA awards also may be governed by requirements specified in the program legislation, regulations, or the specific terms and

[conditions](#) of the award, which will take precedence over the general discussion provided here.

| Item | Description |
|---------------------------------------|---|
| Alcoholic Beverages | Unallowable as an entertainment expense. |
| Bad Debts | Unallowable. |
| Entertainment Costs | Unallowable. This includes the cost of amusements, social activities, and related incidental costs. |
| Fundraising Costs | Unallowable. |
| Honoraria | Unallowable when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee under a conference grant, is allowable. |
| Invention, Patent, or Licensing Costs | Unallowable as a direct cost unless specifically authorized in the NoA . May be allowable as indirect costs provided they are authorized under applicable cost principles and are included in the negotiation of indirect cost rates . Such costs include licensing or option fees, attorney's fees for preparing or submitting patent applications, and fees paid to the U.S. Patent and Trademark Office for patent application, patent maintenance, or recordation of patent-related information. |
| Lobbying | Generally unallowable, including costs of lobbying activities to influence the introduction, enactment, or modification of legislation by the U.S. Congress or a State legislature. Under certain circumstances, as provided in the applicable cost principles, costs associated with activities that might otherwise be considered "lobbying" that are directly related to the performance of a grant may be allowable. The recipient should obtain an advance understanding with the GMS if it intends to engage in these activities. |
| Meals | <p>Generally unallowable except for the following:</p> <ul style="list-style-type: none"> • Subjects and patients under study • Where specifically approved as part of the project or program activity, e.g., in programs providing children's services • When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement • As part of a per diem or subsistence allowance provided in conjunction with allowable travel • Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances. |

| | |
|------------------------|---|
| | <p>Guest meals are not allowable. (See “Consumer/Provider Board Participation” in this exhibit regarding the allowability of the cost of meals for consumer and provider board participants in grant-supported activities.)</p> |
| <p>Pre-award Costs</p> | <p>Costs incurred prior to the effective date of the sponsored agreement, whether or not they would have been allowable thereunder if incurred after such date, are unallowable unless approved by the sponsoring agency or authorized under expanded authority.</p> <p>Where authorized by the sponsoring agency as an expanded authority, a recipient may, at its own risk and without sponsoring agency prior approval, incur obligations and expenditures to cover costs up to (and including) 90 days before the beginning date of the initial budget period of a new or competing continuation award if such costs</p> <ul style="list-style-type: none"> • are necessary to conduct the project or program, and • would be allowable under the grant, if awarded. <p>However, even if authorized as an expanded authority, if a specific expenditure would otherwise require prior approval, the cost or activity must meet the same tests of allowability as if incurred after award.</p> <p>If not authorized as part of expanded authorities, the applicant/recipient must seek sponsoring agency prior approval before incurring pre-award costs. Sponsoring agency prior approval is required for any costs to be incurred more than 90 days before the beginning date of the initial budget period of a new or competing continuation award.</p> |
| <p>SWAG</p> | <p>Promotional items and memorabilia (e.g., pencils, cups, t-shirts, cookbooks, bags, etc.), gifts, and souvenirs designed to promote the recipient’s organization are unallowable as advertising/public relations costs.</p> |

Funding Restrictions: If the FOA notes that the program is subject to the General Provisions of P.L. 112-74, the following applies:

Restriction on Lobbying

Per Division F, Title V, Section 503 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) and continued through the *Consolidated and Further Continuing Appropriations Act, 2013* (P. L. 113-6), (a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, 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) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any [State government](#), State legislature or local legislature or legislative body, 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 prohibitions in subsections (a) and (b) shall 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.

Restriction on Distribution of Sterile Needles or Syringes

Per Division F, Title V, Section 523 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) and continued through the *Consolidated and Further Continuing Appropriations Act, 2013* (P. L. 113-6), no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

v. Budget Justification Narrative

Provide a budget narrative that explains the amounts requested for each line of the budget in Section B. 6. Object Class Categories. The budget narrative should specifically describe how each item will support the achievement of proposed objectives. Be very careful about showing how each item in the “other” category is justified. For subsequent budget years, the narrative should highlight the changes from year one or clearly indicate that there are no substantive budget changes during the project period. Do NOT use the budget narrative to expand the project narrative.

Budget for Multi-Year Award (project periods vary, maximum of five years)

FOAs invite applications for project periods of one (1) to up to five (5) years. Generally, awards, on a competitive basis, will be for a one-year [budget period](#); although the project period may be up to five (5) years. Submission and HRSA approval of the [Progress Report](#)(s) and any other required submission or reports is the basis for the budget period renewal and release of subsequent year funds. Funding beyond the one-year budget period but within the multi-year

project period is subject to availability of funds, satisfactory progress of the awardee, and a determination that continued funding would be in the best interest of the Federal Government.

In addition to requirements included in the program-specific FOA, include the following in the Budget Justification narrative:

Personnel Costs: Personnel costs should be explained by listing each staff member who will be supported from funds, name (if possible), position title, percentage of full-time equivalency, and annual salary. If the FOA notes that the program is subject to the General Provisions of P.L. 112-74, the following applies:Reminder: Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II or \$179,700. An individual's base salary, per se, is NOT constrained by the legislative provision for a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to HRSA grants and cooperative agreements. Please provide an individual's actual base salary if it exceeds the cap. See the sample below.

Sample:

| Name | Position Title | % of FTE | Annual Salary | Amount Requested |
|----------|-------------------------|----------|---------------|------------------|
| J. Smith | Chief Executive Officer | 50 | \$179,700* | \$89,850 |
| R. Doe | Nurse Practitioner | 100 | \$75,950 | \$75,950 |
| D. Jones | Data/AP Specialist | 25 | \$33,000 | \$8,250 |

*Actual annual salary = \$350,000

Fringe Benefits: List the components that comprise the fringe benefit rate, for example health insurance, taxes, unemployment insurance, life insurance, retirement plans, and tuition reimbursement. The fringe benefits should be directly proportional to that portion of personnel costs that are allocated for the project. If the FOA notes that the program is subject to the General Provisions of P.L. 112-74, the following applies: If an individual's base salary exceeds the legislative salary cap (i.e., \$179,700), please adjust fringe accordingly.

Travel: List travel costs according to local and long distance travel. For local travel, the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel should be outlined. The budget should also reflect the travel expenses (e.g., airfare, lodging, parking, per diem, etc.) for each person and trip associated with participating in meetings and other proposed trainings or workshops. Name the traveler(s) if possible, describe the purpose of the travel, provide number of trips involved, the destinations, and the number of individuals for whom funds are requested.

Equipment: List equipment costs and provide justification for the need of the equipment to carry out the program's goals. Extensive justification and a detailed status of current equipment must be provided when requesting funds for the purchase of items that meet the definition of equipment (a unit cost of \$5,000 or more and a useful life of one or more years). For example, items like computers and furniture.

Supplies: List the items that the project will use. In this category, separate office supplies from medical and educational purchases. Office supplies could include paper,

pencils, etc.; medical supplies are syringes, blood tubes, plastic gloves, etc., and educational supplies may be pamphlets and educational videotapes. Remember, they must be listed separately.

Contractual: Applicants are responsible for ensuring that their organization or institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring all contracts. Applicants must provide a clear explanation as to the purpose of each contract, how the costs were estimated, and the specific contract deliverables. Reminder: recipients must notify potential [subrecipients](#) that entities receiving [subawards](#) must be registered in SAM and provide the recipient with their [DUNS number](#).

Other: Put all costs that do not fit into any other category into this category and provide an explanation of each cost in this category. In some cases, rent, utilities and insurance fall under this category if they are not included in an approved [indirect cost rate](#).

Applicants may include the cost of access accommodations as part of their project's budget, including sign interpreters, plain language and health literate print materials in alternate formats (including Braille, large print, etc.); and cultural/linguistic competence modifications such as use of cultural brokers, translation or interpretation services at meetings, clinical encounters, and conferences, etc.

Indirect Costs: Indirect costs are those costs incurred for common or joint objectives which cannot be readily and specifically identified with a particular project or program but are necessary to the operations of the organization, e.g., the cost of operating and maintaining facilities, depreciation, and administrative salaries. For institutions subject to [2 CFR Part 220](#) (formerly OMB Circular A-21), the term "facilities and administration" is used to denote indirect costs. If an organization applying for an assistance award does not have an [indirect cost rate](#), the applicant may wish to obtain one through HHS's Division of Cost Allocation (DCA). Visit DCA's website at: <http://rates.psc.gov/> to learn more about rate agreements, the process for applying for them, and the regional offices which negotiate them. If [indirect costs](#) are included in the budget, please attach a copy of the [indirect cost rate](#) agreement. If the indirect cost rate agreement is required per the FOA, it will not count toward the page limit.

vi. Staffing Plan and Personnel Requirements

Applicants must present a staffing plan and provide a justification for the plan that includes education and experience qualifications and rationale for the amount of time being requested for each staff position. Position descriptions that include the roles, responsibilities, and qualifications of proposed project staff must be included in the Attachment *specified in the FOA*. Biographical sketches for any key employed personnel that will be assigned to work on the proposed project must be included in the Attachment *specified in the FOA*. When applicable, biographical sketches should include training, language fluency and experience working with the cultural and linguistically diverse populations that are served by their programs.

vii. Assurances

Complete Application Form SF-424B Assurances – Non-Construction Programs.

viii. Certifications

Use the Certifications and Disclosure of Lobbying Activities Application Form provided with the application package.

ix. Project Abstract

Provide a summary of the application. Because the abstract is often distributed to provide information to the public and Congress, please prepare this so that it is clear, accurate, concise, and without reference to other parts of the application. It must include a brief description of the proposed project including the needs to be addressed, the proposed services, and the population group(s) to be served.

Please place the following at the top of the abstract:

- Project Title
- Applicant Organization Name
- Address
- Project Director Name
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable
- List all grant program funds requested in the application, if applicable
- If requesting a [funding preference](#), [priority](#), or [special consideration](#) as outlined in Section V. 2. of the program-specific FOA, please indicate here.

Please consult the program-specific FOA for additional requirements.

The project abstract must be single-spaced and limited to one page in length.

x. Project Narrative

This section provides a comprehensive framework and description of all aspects of the proposed project. It should be succinct, self-explanatory and well organized so that reviewers can understand the proposed project. Please see the FOA for specific narrative instructions.

xi. Attachments

Provide the attachments as specified in the FOA to complete the content of the application. Please note that these are supplementary in nature, and are not intended to be a continuation of the project narrative. Unless otherwise noted, attachments count toward the application page limit specified in the FOA. **Each attachment must be clearly labeled.**

4.2. Narrative and Attachment Formatting Guidelines

4.2.1. Font

Please use an easily readable font, such as Times Roman, Arial, Courier, or CG Times. The text and table portions of the application must be submitted in not less than a 12-point font and 1.0 line spacing. Applications not adhering to 12-point font requirements may be returned. For charts, graphs, footnotes, and budget tables, applicants may use a different pitch or size font but not less than 10 pitch or size font. It is vital that the charts are legible when scanned or reproduced.

4.2.2. Paper Size and Margins

For duplication and scanning purposes, please ensure that the application can be printed on 8 ½” x 11” white paper. Margins must be at least one (1) inch at the top, bottom, left and right of the paper. Please left-align text.

4.2.3. Names

Include the name of the applicant and 10-digit grant number (if [competing continuation](#) or [competing supplement](#)) on each page as a footer.

4.2.4. Section Headings

Put all section headings flush left in bold type.

4.2.5. Page Numbering

Do not number the standard OMB approved forms. Number each attachment page sequentially. Reset the numbering for each attachment. (Treat each attachment/document as a separate section.)

4.2.6. Allowable Attachment or Document Types

Unless otherwise noted in the FOA, please do not submit organizational brochures or other promotional materials, slides, films, clips, etc.

The attachment types listed below are supported in HRSA EHBs. Although Grants.gov allows you to upload other types of attachments, **HRSA only accepts the following types of attachments. Files with unrecognizable extensions may not be accepted or may be corrupted, and will not be considered as part of the application.** When the application is printed by HRSA, documents will print as they are formatted by the applicant. Take care to format Excel spreadsheets so they will print in as few pages as possible.

File Attachment Types (acceptable by HRSA)

- .DOC/.DOCX - Microsoft Word
- .RTF - Rich Text Format
- .TXT - Text
- .WPD - Word Perfect Document
- .PDF - Adobe Portable Document Format
- .XLS/.XLSX - Microsoft Excel
- .VSD – Microsoft Visio

File Attachment Names

- Please use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, and/or period.
- Limit the file attachment name to under 50 characters.
- Do not use any special characters (e.g., %, /, #) or commas.

Your application will be rejected by Grants.gov if you use special characters or attachment names greater than 50 characters.

4.3. Application Content Order (Table of Contents)

HRSA uses an automatic numbering approach to ensure uniformity of all applications when printed for [objective review](#).

HRSA uses a standard package from Grants.gov: SF-424 and has defined a standard order of forms (see the table on the next two pages). The FOA also provides applicants with explicit instructions where to upload specific Attachments 1 to maximum of 15.

SF-424 Non-Construction – Table of Contents

-  It is mandatory to follow the instructions provided in this section to ensure that the application can be printed efficiently and consistently for review.
-  Failure to follow the instructions may make the application non-responsive. Non-responsive applications will not be considered under the FOA.
-  For electronic submissions, applicants only have to number the electronic attachment pages sequentially, resetting the numbering for each attachment, i.e., start at page 1 for each attachment. Do not attempt to number standard OMB approved form pages.
-  For electronic submissions, no Table of Contents is required for the entire application. HRSA will construct an electronic table of contents in the order specified.

| Application Section | Form Type | Instruction | HRSA/Program Guidelines |
|--|------------|---|---|
| Application for Federal Assistance (SF-424) | Form | Pages 1, 2 & 3 of the SF-424 face page. | Not counted in the page limit |
| Project Abstract | Attachment | Must be uploaded on page 2 of SF-424 - Box 15: Select “Add Attachments” to upload the project abstract. | Required attachment. Counted in the page limit. Refer to Section 4.1.ix of this <i>SF-424 Application Guide</i> and the FOA for detailed instructions, if applicable. |
| Additional Congressional District | Attachment | Can be uploaded on page 3 of SF-424 - Box 16 | Counted in the page limit. |
| Project Narrative Attachment Form | Form | Supports the upload of Project Narrative document | Not counted in the page limit. |
| Project Narrative | Attachment | Can be uploaded in Project Narrative Attachment form. | Required attachment. Counted in the page limit. Refer to the FOA for detailed instructions. Provide table of contents specific to this document only as the first page. |
| SF-424A Budget Information - Non-Construction Programs | Form | Pages 1–2 to support structured budget for the request of Non-construction related funds. | Not counted in the page limit. |
| Budget Narrative Attachment Form | Form | Supports the upload of Project Narrative document. | Not counted in the page limit. |
| Budget Justification Narrative | Attachment | Can be uploaded in Budget Narrative Attachment form. | Required attachment. Counted in the page limit. Refer to the Section 4.1.v of this <i>SF-424 Application Guide</i> and the FOA for detailed instructions. |
| SF-424B Assurances - Non-Construction Programs | Form | Supports assurances for non-construction programs. | Not counted in the page limit. |
| Project/Performance Site | Form | Supports primary and 29 additional sites in | Not counted in the page limit. |

| Application Section | Form Type | Instruction | HRSA/Program Guidelines |
|--|------------|---|--|
| Location(s) | | structured form. | |
| Additional Performance Site Location(s) | Attachment | Can be uploaded in the SF-424 Performance Site Location(s) form. Single document with all additional site location(s) | Counted in the page limit. |
| Grants.gov Lobbying Form | Form | Supports required lobbying assurances. | Required. Not counted in the page limit. |
| Disclosure of Lobbying Activities (SF-LLL) | Form | Supports structured data for lobbying activities. | Optional, as applicable: Not counted in the page limit. |
| Attachments Form | Form | Supports up to 15 numbered attachments. This form only contains the attachment list. | Not counted in the page limit. |
| Attachments 1-15 | Attachment | Can be uploaded in Attachments Form 1-15. | Refer to the attachment table provided in the FOA for specific sequence. Counted in the page limit. |

- 🔔 To ensure that attachments are organized and printed in a consistent manner, follow the order provided in the FOA. Note that these instructions may vary across programs.
- 🔔 Evidence of [Non-Profit](#) status and invention related documents, if applicable, must be provided in the Other Attachments form (not counted in the page limit).
- 🔔 Additional supporting documents, if applicable, can be provided using the available rows. Do not use the rows assigned to a specific purpose in the program FOA.
- 🔔 Merge similar documents into a single document. Where several documents are expected in the attachment, ensure that a table of contents cover page is included specific to the attachment. The Table of Contents page will not be counted in the page limit.
- 🔔 Please use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period, and limit the file name to 50 or fewer characters. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

| Attachment Number | Attachment Description (Program Guidelines) |
|-------------------|---|
| Attachments 1-15 | Please see instructions in the FOA. |

4.4. Application Page Limit

The total size of all uploaded files may not exceed the page limit specified in Section IV. 2. of the FOA when printed by HRSA. The page limit includes the abstract, project and budget narratives, attachments, and letters of commitment and support required in the FOA. Standard OMB-approved forms are NOT included in the page limit. **We strongly urge you to print your application to ensure it does not exceed the specified page limit.**

Applications must be complete, within the specified page limit, and submitted prior to the deadline to be considered under the announcement.

Applicants must follow the instructions provided in this section. HRSA recommends that applicants print out all attachments and confirm the number of pages before submission.

 **NOTE:** Applications that exceed the specified limits will be deemed non-responsive. Non-responsive competing applications will not be given any consideration and the particular applicants will be notified

4.5. Submission Dates and Times

Notification of Intent to Apply (ONLY if requested in FOA on cover and in Section IV.3.)

An applicant is eligible to apply even if no [letter of intent](#) is submitted. The letter should identify the applicant organization and its intent to apply, and briefly describe the proposal to be submitted. Receipt of Letters of Intent will *not* be acknowledged.

This letter should be sent via email by *the date listed in FOA*, to:

Director, Division of Independent Review
HRSA Digital Services Operation (DSO)
Please use HRSA opportunity number as email subject (HRSA-XX-XXX)
HRSA_DSO@hrsa.gov

Application Due Date

The due date for applications is *11:59 P.M. Eastern Time on the date* listed in Section IV.3. Submission Dates and Times in the FOA, unless otherwise noted. Applications completed online are considered formally submitted when the application has been successfully transmitted electronically to the correct FOA number, by the organization's AOR through Grants.gov and validated by Grants.gov on or before the deadline date and time.

4.6. Correcting Mistakes

If, for any reason (including submitting to the wrong application number), an application is submitted more than once prior to the application due date, HRSA will only accept the applicant's last validated electronic submission, under the correct opportunity, prior to the Grants.gov application due date as the final and only acceptable application. In Box 1 of the SF-424, check "Changed/Corrected Application."

It is incumbent on applicants to ensure that the AOR is available to submit the application to HRSA by the published due date. HRSA will not accept submission or re-submission of incomplete, rejected, or otherwise delayed applications after the deadline. Therefore, an organization is urged to submit an application in advance of the deadline. If an application is rejected by Grants.gov due to errors, it must be corrected and resubmitted to Grants.gov before the deadline date and time. Deadline extensions will not be provided to applicants who do not correct errors and resubmit before the posted deadline.

4.7. Tips for Writing a Strong Application

HRSA has designed a technical assistance webpage to assist applicants in preparing applications. Resources include help with system registration, finding and applying for funding opportunities, writing strong applications, understanding the review process, and many other topics which applicants will find relevant. The website can be accessed online at: <http://www.hrsa.gov/grants/apply/index.html>.

In addition, a concise resource offering tips for writing proposals for HHS grants and [cooperative agreements](http://www.hrsa.gov/grants/apply/index.html) can be accessed online at: <http://dhhs.gov/asfr/ogapa/grantinformation/apptips.html>.

4.8. Withdrawing an Application

An applicant may withdraw an application from consideration at any time before an award is issued. Notification of this withdrawal should be sent via email to DGPWaivers@hrsa.gov, with a copy sent to the PC and [GMS](#) listed in the FOA.

5 PROCESS OVERVIEW

5.1 Competing Applications (Entire Submission Through Grants.gov)

Following is the process for submitting a competing application through Grants.gov:

1. HRSA will post all competing FOAs on Grants.gov (<http://www.grants.gov>).
2. In order to apply for a HRSA grant, you must complete the Grants.gov registration process. See [Section 4](#) for more details.
3. Once the FOA is available, applicants should search for the announcement in Grants.gov under Find Grant Opportunities (http://www.grants.gov/applicants/find_grant_opportunities.jsp) or Apply for Grants (http://www.grants.gov/applicants/apply_for_grants.jsp).
4. Download the application package and instructions from Grants.gov. The FOA contains application instructions and must be downloaded. Make note of the Announcement Number.
5. Save a copy of the application package on your computer, or to a location you choose and complete all the forms based on the instructions provided in the FOA.
6. Submit the application package through Grants.gov (requires registration – see [Section 4](#)).

7. Track the status of your submitted application using Track My Application at Grants.gov until you receive email notifications that your application has been received **and** validated by Grants.gov and received by HRSA.

5.2 Application Processing

HRSA staff review each application for eligibility, responsiveness, completeness, and conformity with the requirements outlined in the relevant FOA. Applications that pass the initial HRSA eligibility screening will be reviewed and rated by a panel based on the program elements and review criteria presented in Section V. 1. Review Criteria of the relevant FOA.

All incomplete applications, ineligible, or otherwise non-compliant applications, and applications determined to be non-responsive to FOA requirements will not be reviewed. [An applicant may withdraw an application from consideration at any time before an award is issued.](#)

For those applications that did not pass the initial screening, applicants will be advised by letter (sent to the individual signing the application on behalf of the organization) that its application will not be held for further consideration or be funded. The decision not to award a grant, or to award a grant at a particular funding level, is discretionary and is not subject to appeal to any OPDIV or HHS official or board.

5.3 Objective Review Information

The Division of Independent Review is responsible for managing [objective reviews](#) within HRSA. Applications competing for Federal funds receive an objective and independent review performed by a committee of experts qualified by training and experience in particular fields or disciplines related to the program being reviewed. In selecting review committee members, other factors in addition to training and experience may be considered to improve the balance of the committee, e.g., geographic distribution. Each reviewer is screened to avoid conflicts of interest and is responsible for providing an objective, unbiased evaluation based on the review criteria presented in Section V. 1. Review Criteria of the FOA. The committee provides expert advice on the merits of each application to program officials responsible for final selections for award.

Applications that pass the initial HRSA eligibility screening will be reviewed and rated by a panel based on the program elements and review criteria presented in the FOA. The review criteria are designed to enable the review panel to assess the quality of a proposed project and determine the likelihood of its success. The criteria are closely related to each other and are considered as a whole in judging the overall quality of an application.

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review criteria found in the FOAs are outlined with specific detail and scoring points.

Funding factors may be applied during the objective review process or in the selection process. Funding factors are addressed in the FOA, which will specify if applicants must make an

affirmative request to be considered for a funding factor, what information is needed to demonstrate eligibility for the funding factor, and whether objective reviewers determine if an applicant met the funding factor. The announcement provides a detailed explanation of preferences, priorities, or [special considerations](#) with an explicit indication of their effect (e.g., whether they result in additional points being assigned).

It is HRSA policy that [funding preferences, priorities, and special considerations](#) must be specified in statute, Executive Order, or regulation. If met, these funding factors allow an applicant to move ahead of other applicants (preference) or qualify for extra points (priority or special consideration).

Each applicant will receive written notification of the outcome of the [objective review](#) process, including a summary of the expert committee's assessment of the application's strengths and weaknesses, and whether the application was selected for funding.

5.4 Award Notification

[The Notice of Award \(NoA\)](#) is the legal document issued to the recipient that indicates an award has been made and that funds may be requested from HRSA. Until an awarding office has issued an NoA for the initial [budget period](#), any costs incurred by the applicant for the project are incurred at its own risk. The NoA 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. Signed by the Grants Management Officer (GMO), it is sent to the applicant's Authorized Organization Representative (AOR), and reflects the only authorizing document. Generally, it will be sent prior to the start date of the award as listed in Section V.3 of the FOA.

A revised NoA may be issued during a budget period to effect an action resulting in a change in the period or amount of support or other change in the [terms and conditions](#) of award. An awarding office generally will not issue a revised NoA to reflect a recipient's post-award rebudgeting. 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.

6. REPORTING REQUIREMENTS

Successful applicants generally must comply with the following standard reporting and review activities, unless otherwise noted in the FOA or NoA. Some programs require program-specific reporting, so please see Section VI. 3. Reporting of the FOA:

a. Audit Requirements

Comply with audit requirements of OMB Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at http://www.whitehouse.gov/omb/circulars_default.

b. Payment Management Requirements

Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System (PMS). The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of each calendar quarter. Failure to submit the report may result in the inability to access award funds. Go to <http://www.dpm.psc.gov> for additional information.

c. Status Reports

1) **Federal Financial Report.** The Federal Financial Report (SF-425) is required according to the following schedule:
<http://www.hrsa.gov/grants/manage/technicalassistance/federalfinancialreport/ffrschedule.pdf>. The report is an accounting of expenditures under the project that year. Financial reports must be submitted electronically through HRSA EHBs. More specific information will be included in the [NoA](#).

2) **Progress Report(s).** The awardee must submit a progress report to HRSA on a quarterly, semi-annual, or annual basis (as specified in the FOA). For multi-year awards: Submission and HRSA approval of grantee Progress Report(s) triggers the [budget period](#) renewal and release of subsequent year funds. This report has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. Further information will be provided in the [NoA](#).

3) **Final Report.** A final report is due within 90 days after the project period ends. The final report collects information relevant to program-specific goals and progress on strategies; core performance measurement data; impact of the overall project; the degree to which the grantee achieved the mission, goal and strategies outlined in the program; grantee objectives and accomplishments; barriers encountered; and responses to summary questions regarding the grantee's overall experiences during the entire project period. The final report must be submitted on-line by awardees in the HRSA EHBs system at <https://grants.hrsa.gov/webexternal/home.asp>.

4) **Tangible Personal Property Report.** If applicable, the awardee must submit the Tangible Personal Property Report (SF-428) and any related forms. The report must be submitted within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired [equipment](#) with an acquisition cost of \$5,000 or more per unit. Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and [supplies](#). Property may be provided by HRSA or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the Federal Government. Tangible personal property reports must be submitted electronically through HRSA EHBs. More specific information will be included in the [NoA](#).

5) **Any other required reports and/or products specified in the FOA.**

d. Transparency Act Reporting Requirements

[New](#) awards ("Type 1") issued are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (P. L. 109-282), as

amended by section 6202 of P.L. 110–252, and implemented by [2 CFR Part 170](#). IMPORTANT: The reporting requirements apply for the duration of the project period and so include all subsequent award actions to aforementioned HRSA grants and cooperative agreement awards (e.g., Type 2 (competing continuation), Type 5 (non-competing continuation), etc.). Grant and cooperative agreement recipients must report information for each first-tier [subaward](#) of \$25,000 or more in Federal funds and executive total compensation for the recipient's and [subrecipient](#)'s five most highly compensated executives as outlined in [Appendix A to 2 CFR Part 170](#) (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>).

7. AGENCY CONTACTS

7.1. Working with HRSA Program and Grants Management Staff

For assistance with overall program-related questions, contact the program contact listed in Section VII. Agency Contacts of the FOA. Do not call the program contact for technical questions related to Grants.gov.

For additional information regarding business, administrative, or fiscal issues, contact the [GMS](#) listed in Section VII. Agency Contacts of the FOA. The PC and the GMS work as a team in many grant-related activities.

7.2. Grants.gov Customer Support

Direct all questions regarding Grants.gov to the Grants.gov Call Center at: 1-800-518-4726 (International callers, please dial 606-545-5035) or via email at support@grants.gov. Call Center hours of operation are 24 hours a day, 7 days a week, excluding Federal holidays. Please be sure to obtain a case number every time you call so that your issue can be tracked.

For additional support with the Grants.gov Web site, visit <http://www.grants.gov/help/help.jsp>. You can also visit the Self Service iPortal for answers to commonly asked questions (<https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>).

8. FAQs and Other Information

8.1. Software FAQs

8.1.1. What are the software requirements for using Grants.gov?

Applicants will need to download Adobe Reader. For information on Adobe Reader, go to http://www.grants.gov/help/download_software.jsp#adobe811.

8.1.2. Adobe Reader

The Adobe Reader screen is shown in **Adobe Reader Screen** below.

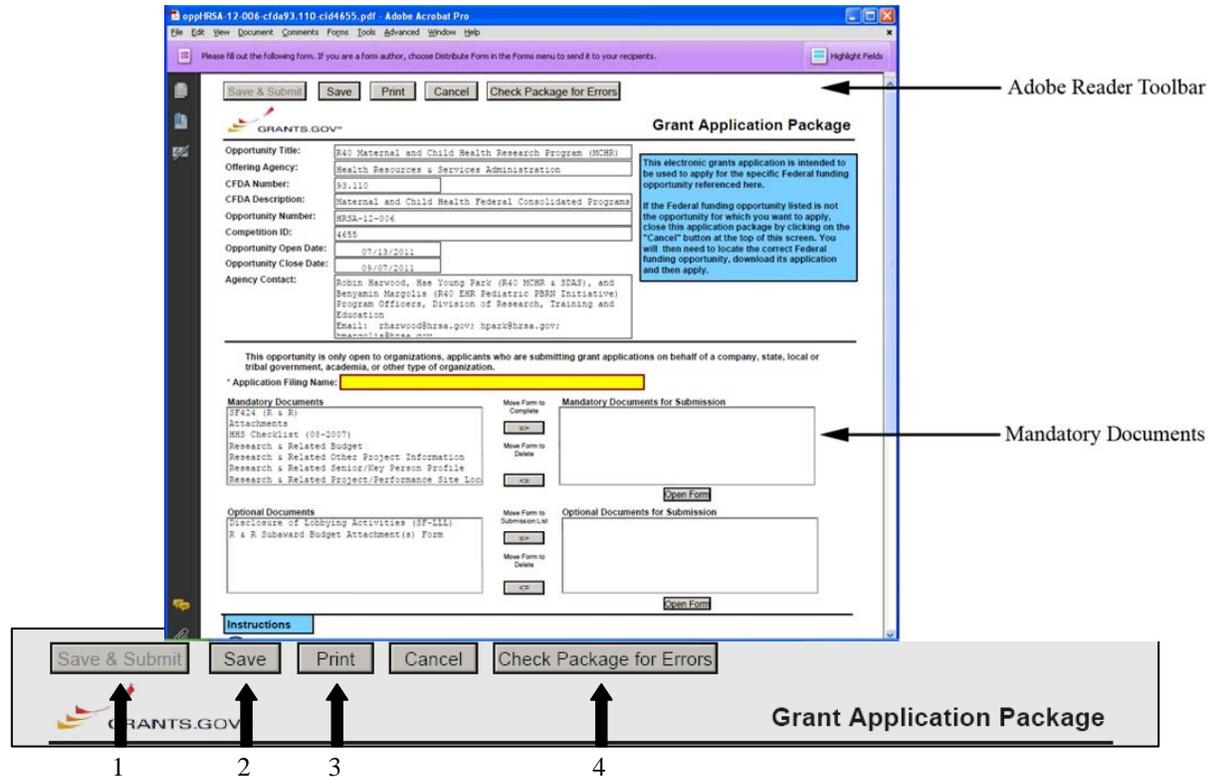


Figure 1: The Adobe Reader Toolbar

1. **Save & Submit** – Click to submit the application package to Grants.gov. (This is not available until all mandatory documents have been completed and the application has been saved.)
2. **Save** – Click to save the application package to your local computer.
3. **Print** – Click to print the application package.
4. **Check Package for Errors** – Click prior to submitting the application package to ensure there are no errors.

Documents that you must include in your application package are listed under Mandatory Documents. Refer to Figure 2 below.

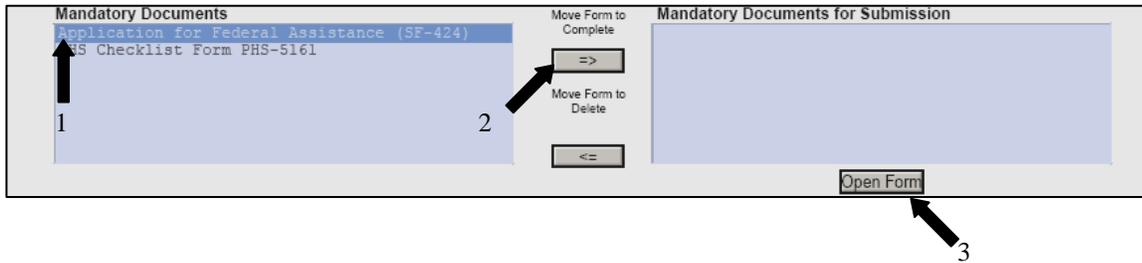


Figure 2: Working with Mandatory Documents (Adobe Reader)

1. Under Mandatory Documents, select the document you want to work on.
2. Click on the *Move Form to Complete* button.
3. Select the document under Mandatory Documents for Submission and click on the *Open Form* button. (Note: depending on your version of Adobe Reader, the forms may open automatically when you click on the document name.)

When you open a document for viewing or editing, Adobe Reader opens the document at the bottom of the main application page. Refer to Figure 3 below.

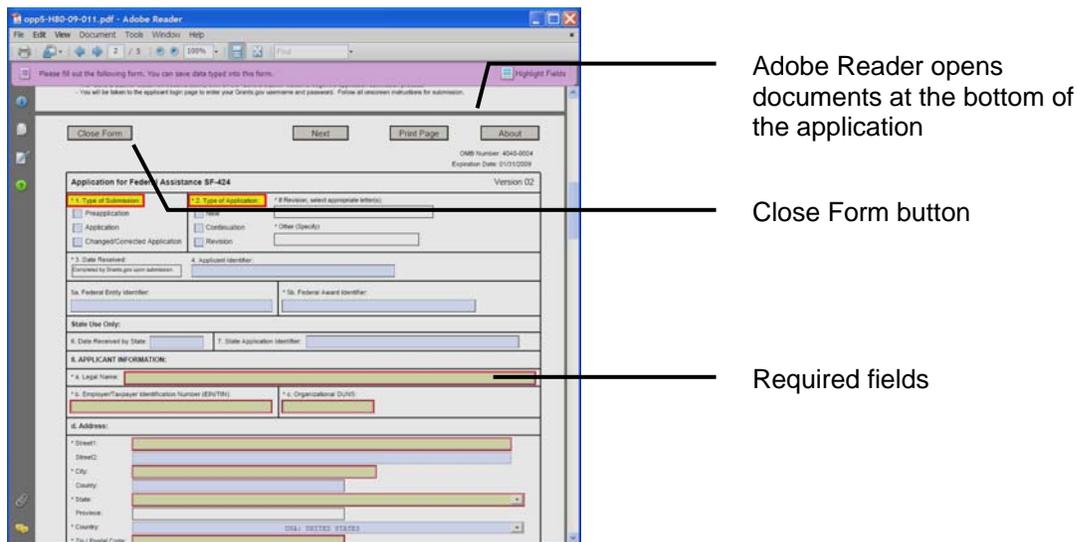


Figure 3: An Open Form in Adobe Reader

Note that the buttons are attached to the top of the page and move with the page. Click on the *Close Form* button to save and close the form.

Special Note: Working with Earlier Versions of Adobe Reader

It is highly recommended that you remove all earlier versions of Adobe Reader prior to installing the latest version of Adobe Reader. Do this by using *Add or Remove Programs* from the Control Panel in Windows.

If you need to keep older versions of Adobe Reader on your computer, you should be aware that the program will unsuccessfully attempt to open application packages with the earlier, incompatible version. Use the following workaround to avoid this problem.

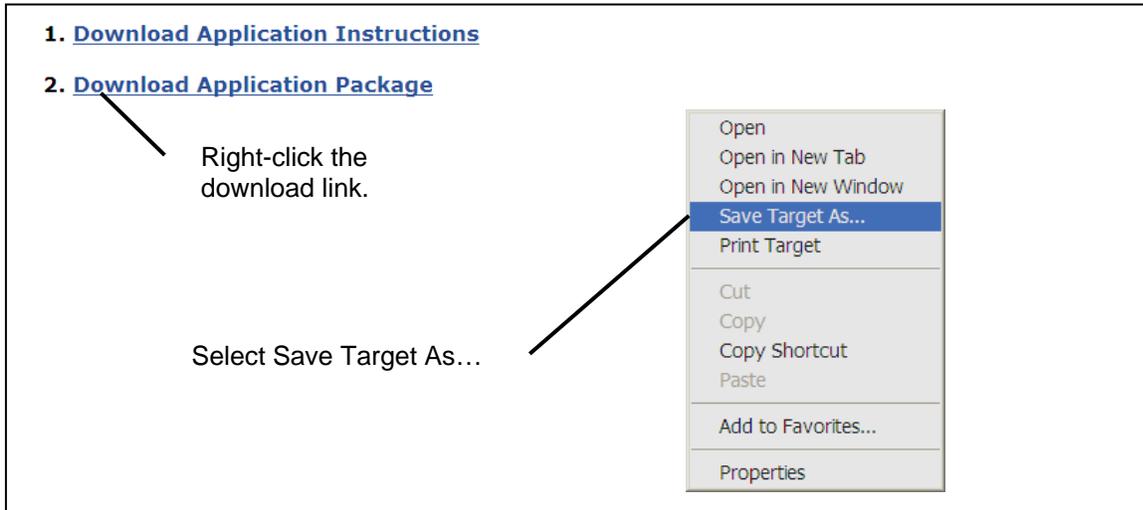


Figure 4: Downloading from Grants.gov

1. From the Grants.gov download page, right-click on the *Download Application Package* link and select **Save Target As...** from the menu.
2. Save the target on your computer (preferably to the Desktop) as an Adobe Acrobat Document.

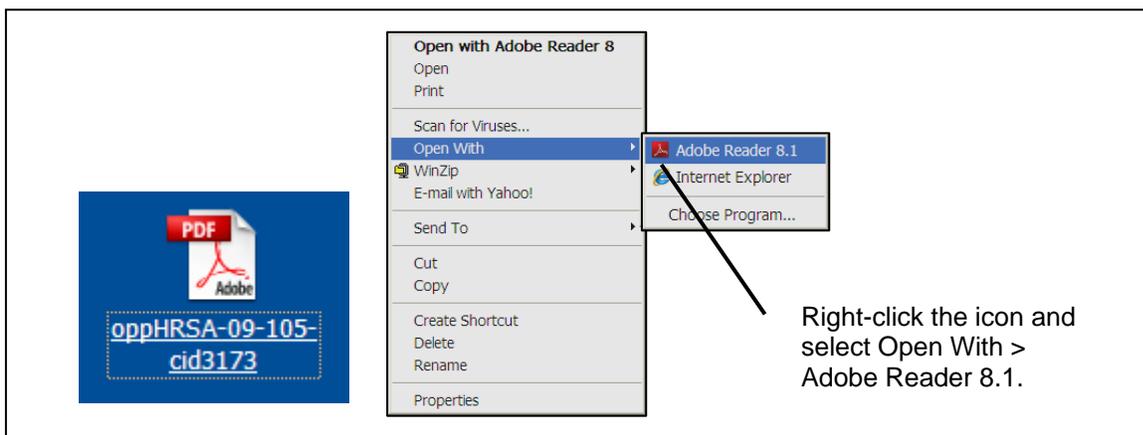


Figure 5: Selecting Open with Adobe Reader

3. Right-click the icon.
4. Select *Open With > Adobe Reader 8.1* from the menu.

8.1.3 Can I download Adobe Reader onto my computer?

There are software applications that allow you to successfully navigate the Grants.gov pages and complete your application. These applications can be found at: http://www.grants.gov/help/download_software.jsp#811#adobe811. However, depending on your organization's computer network and security protocols you may **not** have the necessary permissions to download software onto your workstation. Contact your IT department or system administrator to download the software for you or give you access to this function.

8.1.4. Is Grants.gov Macintosh (Mac) compatible?

Yes, visit http://www.grants.gov/help/general_faqs.jsp.

8.2. Application Receipt FAQs

8.2.1. When do I need to submit my application?

Competing Submissions:

Generally, applications must be submitted to Grants.gov by 11:59 p.m. Eastern Time on the due date, however the time may vary. Applicants should refer to the FOA for exact submission dates and times. An application for HRSA funding must be both received **and** validated by Grants.gov by the application deadline.

8.2.2. What is the receipt date (the date the application is electronically received by Grants.gov or the date the data is received by HRSA)?

The submission/receipt date is the date the application is electronically received and validated by Grants.gov. An application for HRSA funding must be both received **and** validated by Grants.gov by the application deadline. Please allow sufficient time to have the application validated, which can take up to 48 hours.

8.2.3 Once my application is submitted, how can I track my application and what emails can I expect from Grants.gov and HRSA?

You can check the status of your application(s) anytime after submission by logging into Grants.gov and clicking on the *Track My Application* link on the left side of the page. This link will also be included in the confirmation email that you receive from Grants.gov.

When you submit your competing application in Grants.gov, it is first received and then validated by Grants.gov. Typically, this takes a few hours but it may take up to 48 hours during peak volumes. You will receive four emails from Grants.gov.

The first will confirm receipt of your application by the Grants.gov system ("Received"). The second will indicate that the application has either been successfully validated ("Validated") by the system prior to transmission to the grantor agency or has been rejected due to errors ("Rejected with Errors"). An application for HRSA funding must be both received **and** validated by Grants.gov by the application deadline.

Subsequently, the application will be downloaded by HRSA upon successful validation of your application by Grants.gov. The status of the application will then change to "Received by Agency" after successful validation and you will receive a third email from Grants.gov.

HRSA will process the application to ensure that it has been submitted for the correct funding announcement number, along with the correct grant number (if applicable) and grantee/applicant organization. This may take up to three business days. HRSA will assign a unique tracking number to your application which will be posted to Grants.gov. The status of your application will then be changed to “Agency Tracking Number Assigned” and you will receive a fourth email from Grants.gov.

 **NOTE:** Refer to FAQ 8.2.5 below for a summary of emails.

8.2.4. If a resubmission is required due to technological problems encountered using the Grants.gov system and the closing date has passed, what should I do?

You must **contact the Director of the Division of Grants Policy at HRSA**, within five (5) days from the closing date, via email at DGPWaivers@hrsa.gov and provide a detailed explanation. Your email must include the HRSA Announcement Number, the name, address, and telephone number of the Organization, the organization’s [DUNS number](#), and the Name and telephone number of the Project Director, as well as the Grants.gov Tracking Number (GRANTXXXXXXXX) assigned to your submission, along with a copy of the “Rejected with Errors” notification you received from Grants.gov. Extensions for competitive funding opportunities are only granted in the rare event of a natural disaster or validated technical system problem on the side of the Government that prevented a timely application submission. An application for HRSA funding must be both received **and** validated by the application deadline.

8.2.5 Can you summarize the emails received from Grants.gov and identify who will receive the emails?

| Submission Type | Subject | Timeframe | Sent By | Recipient |
|-----------------------|---|------------------------------|------------|-----------|
| Competing Application | “Submission Receipt” | Within 48 hours | Grants.gov | AOR |
| | “Submission Validation Receipt” OR “Rejected with Errors” | Within 48 hours | Grants.gov | AOR |
| | “Grantor Agency Retrieval Receipt” | Within hours of second email | Grants.gov | AOR |
| | “Agency Tracking Number Assignment” | Within 3 business days | Grants.gov | AOR |

8.3. Application Submission FAQ

8.3.1 How can I make sure that my electronic application is presented in the correct order for [objective review](#)?

Follow the instructions provided in [Section 4](#) to ensure that your application is presented in the correct order and is compliant with all the requirements.

8.4 Grants.gov FAQs

For a list of frequently asked questions and answers maintained by Grants.gov, please visit the following URL: http://www.grants.gov/applicants/applicant_faqs.jsp.

Grants.gov offers several tools and numerous user guides to assist applicants that are interested in applying for grant funds. To view the many applicant resources available through Grants.gov please visit the following URL: http://www.grants.gov/applicants/app_help_reso.jsp.

8.5 Application Completeness Checklist

- ✓ Have I read the FOA and this *SF-424 Application Guide* thoroughly?
- ✓ Is my organization eligible to apply for this announcement?
- ✓ Is my proposed project responsive to the stated goals and objectives of the program as specified in the FOA?
- ✓ Have I ensured my application does not exceed the ceiling amount specified in Section III of the FOA?
- ✓ Have I completed all forms and attachments as requested in Section IV of the FOA and this Guide?
- ✓ On the main page of the Grant Application Package, have I moved all mandatory forms from the “Mandatory Documents” box to the “Mandatory Documents for Submission” box?
- ✓ Have I printed a hard copy of my complete application to ensure it does not exceed the page limit specified in the FOA?
- ✓ Am I applying to the correct funding opportunity announcement number?
- ✓ Will I apply at least three days prior to the deadline to accommodate any unforeseen circumstances?
- ✓ Have I received confirmation emails from Grants.gov noting validation of successful submission?

8.6 Program Specific Resources and Technical Assistance

For additional information/resources, refer to Section VIII. Other Information in the FOA. This section may include technical assistance calls (if scheduled), related programs, useful website addresses, etc.

9. *Technical Assistance Resources*

HRSA has developed the HRSA Grants Technical Assistance (TA) Webpage. This is a one-stop shop for potential applicants on how to apply for HRSA funding. Applicants will find valuable information on how to apply for HRSA grants, including webcasts, videos, and other technical assistance guidance and a wealth of other relevant and useful information and links tailored to HRSA-specific process and requirements. The website may be accessed at: <http://www.hrsa.gov/grants/apply>.