Instructions for Preparing and Submitting the Fiscal Year (FY) 2013 National Training and Technical Assistance Cooperative Agreements (NCA) Non-Competing Continuation Progress Report (NCC)

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I. Purpose

National Training and Technical Assistance Cooperative Agreement (NCA) recipients are required to submit an annual Non-Competing Continuation (NCC) progress report in order to receive continued funding in fiscal year (FY) 2013. The NCC is a progress reporting requirement that will be completed within HRSA's Electronic Handbooks (EHB).

The NCC will be used by HRSA to assess progress and significant changes to an NCA's approved activities. The continuation of funding will be based on compliance with applicable statutory and regulatory requirements, including the timely submission of the NCC progress report through EHB, demonstrated organizational capacity to accomplish the project's goals, Congressional appropriations, and a determination that continued funding would be in the best interest of the federal government.

II. Submission Schedule

All NCAs applying for FY 2013 funding must submit their NCC in EHB by 5:00 PM ET on April 24, 2013.

III. Award Information

The anticipated date of award is **July 1, 2013** for the July 1, 2013 through June 30, 2014 budget period. The NCC budget request must not exceed the recommended level of support found on line 13 of the most recent Notice of Award (NoA). The funding level can also be verified by contacting the Grants Management Specialist identified on your NoA.

IV. Technical Assistance

A technical assistance web site has been established to assist you in completing the NCA NCC and is available at http://www.hrsa.gov/grants/apply/assistance/nca. This site includes FAQs, a slide presentation, and other resources.

You may obtain additional information regarding business, administrative, or fiscal issues by contacting:

Brian Feldman
Senior Grants Management Specialist
Office of Federal Assistance Management
Division of Grants Management Operations, HRSA
Telephone: 301-443-3190
Email: bfeldman@hrsa.gov

You may obtain programmatic technical assistance by contacting your Project Officer as noted on the most recent NoA.

Additional technical assistance regarding completion of the NCC may be obtained by contacting:

Beth Levitz
Public Health Analyst
Office of Policy and Program Development
Bureau of Primary Health Care, HRSA
Telephone: 301-594-4300
Email: BPHCNCA@hrsa.gov

You may obtain assistance with completing the application in EHB by contacting the BPHC Helpline at 1-877-974-2742 or BPHCHelpline@hrsa.gov.

V. Reporting

All NCAs must comply with the following reporting and review activities.

A. **Audit Requirements**
Comply with audit requirements of the Office of Management and Budget (OMB) Circular A-133. Information on scope, frequency, and other aspects of the audits can be found at http://www.whitehouse.gov/omb/circulars.

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 grant funds. Failure to submit the report may result in the inability to access grant funds.

C. **Federal Financial Report**
Submit a Federal Financial Report (SF-425) in EHB at the end of each budget period to account for expenditures under the project for the budget period. The Year 3 budget period is from July 1, 2013 – June 30, 2014. You will be permitted 90 days to liquidate obligations following the end of the budget period. The report will be due October 30, 2014. The due date is the first quarterly reporting date after the 90-day liquidation period.

D. **Interim Progress Report**
Submit an interim progress report via the EHB for the period of April 1, 2013 – September 30, 2013 identifying progress to date, barriers and challenges encountered, and proposed methods to overcome identified barriers/challenges, as well as necessary updates to information concerning key personnel.

Notification and instructions will be provided via an EHB communication at least 30 days prior to the due date of October 30, 2013.

E. **Final Report**
A final report is due within 90 days after the project period ends. The final report will cover the entire project period of September 1, 2011 – June 30, 2014 and will collect progress on program-specific goals and strategies; barriers encountered that limited progress toward goals; core performance measurement data; impact of the overall project; and responses to summary questions regarding experiences over the entire project period. The final report must be submitted in EHB by September 30, 2014. Notification and instructions will be provided via an EHB communication at the end of the project period, June 30, 2014.

VI. Instructions for Submitting the FY 2013 NCC

The NCA NCC must not exceed 40 pages when printed by HRSA (approximately 5 MB). Submit single-spaced narrative documents with 12-point, easily readable font (e.g., Times New Roman, Arial, Courier) and 1-inch margins. Smaller font (no less than 10-point) may be used for tables, charts, and footnotes.

NCAs are reminded that failure to include all required forms and documents as part of the NCC will result in the progress report being considered incomplete or non-responsive. Incomplete or non-responsive progress reports will be returned through a “request change” notification via EHB to provide missing documentation or clarification. Failure to submit the NCC by the established deadline or submission of an incomplete or non-responsive progress report may result in a delay in NoA issuance or a lapse in funding. Therefore, it is recommended that the NCC be carefully reviewed to ensure it is both complete and responsive before submission.

The FY 2013 NCA NCC must consist of the forms and documents identified in Table 1. In the Form Type column of Table 1, the word “E-Form” refers to forms that are completed online through EHB and **DO NOT** require downloading or uploading. The word “Attachment” refers to materials that must be uploaded into EHB.

Table 1: Forms and Attachments

- It is mandatory to follow the instructions provided in this section to ensure that your NCC can be printed efficiently and consistently.
- No table of contents is required.
- Attachments WILL count against the page limit.

Progress Report Section	Form Type	Instructions	Counted in Page Limit?
SF-PPR (Required)	E-Form	Complete the form online. Specific instructions are included in the Quick Reference Sheet available within EHB.	No
SF-PPR-2 (Required)	E-Form	Complete the form online. Specific instructions are included in the Quick Reference Sheet available within EHB.	No
Budget Information: Budget Details Form (Required)	E-Form	Complete the form online. Refer to Section VIII: Budget Details Form for detailed instructions.	No
Budget Narrative (Required)	Attachment	Upload the Budget Narrative. Refer to Section VIII: Budget Narrative for detailed instructions.	Yes
Form 12: Organization Contacts (Required)	E-Form	Review and update contact information, as needed.	No
Project Work Plan (Required)	E-Form	Complete the form online. Refer to Appendix A for detailed instructions.	No
Performance Measures (Required)	E-Form	Complete the form online. Refer to Appendix B for detailed instructions.	No
Attachment 1: Program Narrative Update (Required)	Attachment	Upload the Program Narrative Update, describing significant changes/progress for all aspects of the overall program. Refer to Section VII: Attachment 1 for more information.	Yes

Progress Report Section	Form Type	Instructions	Counted in Page Limit?
Attachment 2: Staffing Plan (As Applicable)	Attachment	If staffing changes have occurred since the last NCC submission, provide a revised staffing plan that includes the education, experience qualifications, and rationale for the amount of time being requested for new staff position(s). Refer to Section VII: Attachment 2 for more information.	Yes
Attachment 3: Position Descriptions for Key Personnel (As Applicable)	Attachment	If position descriptions for key management staff, including vacant positions, have changed since the last NCC submission, provide the new position description(s) that includes the roles, responsibilities, and qualifications for the position(s). Refer to Section VII: Attachment 3 for more information.	Yes
Attachment 4: Biographical Sketches for Key Personnel (As Applicable)	Attachment	Upload biographical sketches for any **NEW** key management staff hired since the last NCC submission. For an identified individual who is not yet hired, include a letter of commitment from that person with the biographical sketch. Refer to Section VII: Attachment 4 for more information.	Yes
Attachment 5: Summary of Contracts/ Agreements (As Applicable)	Attachment	Upload a **BRIEF SUMMARY** describing any new or revised contracts and/or agreements. Refer to Section VII: Attachment 5 for more information.	Yes
Attachment 6: Other Relevant Documents (As Applicable)	Attachment	Upload other documents to support the NCC submission, as desired. If indirect costs are included in the budget, the negotiated agreement must be included as part of this attachment. Refer to Section VII: Attachment 6 for more information.	Yes

VII. Instructions for NCC Attachments

Attachment 1: Program Narrative Update *(Required)*
Provide a brief narrative summary of overall project accomplishments. Discuss **broad issues and changes** that have impacted the target audience(s) served and the NCA organization, as well as progress on the work plan since the last NCC award (July 1, 2012 – March 31, 2013). This section should be used to provide updates on progress that expand on the updates provided in the structured Project Work Plan and Performance Measures forms in EHB to streamline progress reporting and avoid duplication. The Program Narrative Update should include a discussion of:

1. **Any significant progress/proposed changes** (beyond those included in the Project Work Plan) to the approved NCA project.

2. **Any significant changes or outcomes** (beyond those included in the Project Work Plan) that occurred as a result of T/TA activities, including challenges that have been encountered and strategies taken to overcome them.

3. **Any significant changes/updates** that have occurred to **linkages** or **partnerships**.

4. **Any significant changes/updates to the staffing plan** since the last NCA submission (e.g., new staff hired). Updates should address any significant challenges encountered in recruiting and retaining key management/project staff as appropriate to accomplish the key objectives in the work plan.

5. **Any major expected changes/plans/considerations** for activities beyond the upcoming budget period (July 1, 2013 – June 30, 2014).

Note: Discuss any significant anticipated changes to your Project Work Plan with your Project Officer prior to submission.

Attachment 2: Staffing Plan *(As Applicable)*
If the staffing plan changed since the last NCA submission, upload a revised staffing plan.

Attachment 3: Position Descriptions for Key Personnel *(As Applicable)*
If position descriptions for key management staff, including vacant positions, changed since the last NCA submission**,** upload new job descriptions. Key personnel include any individual who will be directly involved in the activities proposed under the cooperative agreement. Key personnel may include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Project Director, and Quality Improvement Coordinator, among others as determined by the NCA. Indicate in the descriptions if key management positions are combined and/or part time (e.g., CFO and CEO roles are

shared). Position descriptions must include the roles, responsibilities, and qualifications for each position and must be limited to **one page** or less.

Attachment 4: Biographical Sketches for Key Personnel *(As Applicable)*
If new key management staff were hired since the most recent NCA submission, upload biographical sketches for the individuals, if not previously submitted to your Project Officer. Each biographical sketch must not exceed **two pages** in length. In the event that a biographical sketch is included for an individual who is not yet hired, include a letter of commitment from that person with the biographical sketch. When applicable, biographical sketches should include training, language fluency, and experience working with the cultural and linguistically diverse populations that are served by the program.

Attachment 5: Summary of Contracts/Agreements *(As Applicable)*
Upload a summary describing any **new or revised** training/technical assistance contracts and/or agreements. The summary must address the following items for each contract and/or agreement:

- Name and contact information for each affiliated agency.
- Type of contract and/or agreement (e.g., contract, Memorandum of Understanding).
- Brief description of the purpose and scope of the contract and/or agreement (i.e., type of services provided through the agreement, how/where services are provided).
- Timeframe for the contract and/or agreement.

Attachment 6: Other Relevant Documents *(As Applicable)*
Upload other documents to support the progress report, as desired. Other documents may include publications, survey instruments, data summary charts, etc. Merge all additional items into a single document before uploading. Please note that these documents will count against the page limit.

VIII. Budget Forms Instructions

A complete budget presentation includes the submission of the Budget Information: Budget Details form to be completed electronically in EHB and the budget narrative attachment. The following resources are recommended to facilitate development of an appropriate budget.

- *HHS Policy on Promoting Efficient Spending: Use of Appropriated Funds for Conferences and Meetings, Food, Promotional Items, and Printing and Publications* (http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html)
- *HHS Grants Policy Statement* (http://www.hrsa.gov/grants/hhsgrantspolicy.pdf)

Additionally, you are reminded that funds under this announcement may not be used for the following purposes:

- Construction/renovation of facilities
- Reserve requirements for state insurance licensure
- Support for lobbying/advocacy efforts

A. Budget Information: Budget Details Form *(Required)*
In Section A: Budget Summary, the NCA grant request in the federal column is pre-populated and cannot be edited. The federal funding request equals the Recommended Federal Budget figure that appears at the top of the Budget Information: Budget Details form. This figure should correspond with the recommended future support figure (Line 13) on the most recent Notice of Award.

In Section B: Budget Categories, provide a breakdown of the budgeted funds by object class category (e.g., Personnel, Fringe Benefits). You may want to use the SF-424A submitted with the most recent NCA application or the Budget Details form submitted with the most recent NCA NCC as a reference point, noting that the total value for each object class category may be different from year to year based on programmatic changes. The total in Section B should match the total in Section A.

The amounts in the Total Direct Charges row and the Total column will be calculated automatically. Indirect costs may only be claimed with an approved indirect cost rate (see details in the Budget Narrative section below).

In Section C: Non-Federal Resources, do not provide other sources of funding.

B. Budget Narrative *(Required)*
Include a line-item budget narrative which explains the amounts requested for each row in Section B: Budget Categories of the Budget Information: Budget Details form. The budget narrative (often referred to as the budget justification) is for **1 year based on your upcoming 12-month budget period (July 1, 2013 – June 30, 2014)**. Upload the budget narrative in the Budget Narrative Form section in EHB.

Include the following in the Budget Narrative:

Personnel Costs: Personnel costs must be explained by listing each staff member who will be supported by federal cooperative agreement funds, name (if possible), position title, percent full time equivalency (FTE), and annual salary.
<u>Salary Limitation</u>: Per the Consolidated Appropriations Act, 2012 (P.L. 112-74) enacted December 23, 2011, HRSA funds may not be used to pay the salary of an individual at a rate in excess of $179,700 (the Executive Level II salary of the Federal Executive Pay Scale). Reasonableness and allowability regulations continue to remain in effect.

Fringe Benefits: List the components that comprise the fringe benefit rate (e.g., health insurance, taxes, unemployment insurance, life insurance, retirement plan, tuition reimbursement). The fringe benefits must be directly proportional to the portion of personnel costs allocated for the project.

Travel: List travel costs categorized by local and long distance travel. For local travel, the mileage rate, number of miles, reason for travel, and staff/board members completing the travel must be outlined. The budget must also reflect travel expenses associated with participating in proposed meetings, trainings, or workshops.

Equipment: Identify the cost per item and justify the need for each piece of equipment to carry out the proposed project. Extensive justification and a detailed status of current equipment must be provided when requesting funds for the purchase of computers or furniture that meet the definition of equipment (a unit cost of $5,000 or more and a useful life of one or more years).

Supplies: List the items that the project will use, separating items into two categories: office supplies (e.g., paper, pencils) and educational supplies (e.g., brochures).

Contracts: Provide a clear explanation as to the purpose of each contract, how the costs were estimated, and the specific contract deliverables. Each recipient is responsible for ensuring that its organization/institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring contracts consistent with the federal procurement standards set forth 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.

Construction: Construction costs are unallowable and should not be included.

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

Indirect Costs: Costs incurred for common or joint objectives which cannot be readily identified but are necessary to organizational operation (e.g., the cost of operating and maintaining facilities, depreciation, administrative salaries). Indirect costs may only be claimed if the recipient provides documentation of an approved indirect cost rate. If an organization does not have an approved indirect cost rate, one may be obtained through the HHS Division of Cost Allocation. Visit https://rates.psc.gov to learn more about rate agreements, including the process for applying for them. **Note: If your organization claims indirect costs in your budget, upload a copy of your most recent indirect cost rate agreement in Attachment 6.**

IX. Appendix A: Project Work Plan Instructions

EHB will pre-populate the Project Work Plan information from the last NCA NCC submission. All of the fields in this form will be unlocked to facilitate reporting progress and revision of activities to focus on updated plans for the upcoming 12-month budget period (July 1, 2013 – June 30, 2014). A sample Project Work Plan is provided on the NCA TA website.

Note: Any significant anticipated changes to your Project Work Plan should be discussed with your Project Officer prior to submission.

Use the table below along with the Quick Reference Sheet available at http://www.hrsa.gov/grants/apply/assistance/nca to complete the Project Work Plan.

Table 2: Project Work Plan Update Guidance by Field

Field	Is this a Pre-Populated Field?	Is this Field Editable?	About this Field
Goal (Standard)	YES	NO	This field contains the standard goals. Note: **Standard Goals may NOT be deleted or edited.**
Goal (Additional)	YES	YES	This field contains additional goal(s) that were added by the NCA beyond the standard list of goals (limit 200 characters). A maximum of 5 additional goals may be added for each of the sections (A, B, and C). **Justification is required in the Comments field for any edits, additions, or deletions.**

Field	Is this a Pre-Populated Field?	Is this Field Editable?	About this Field
Objective Description	YES	YES	Update the major objectives planned for the upcoming budget period of July 1, 2013 through June 30, 2014 (limit 400 characters). A minimum of 1 objective must be entered for each goal with a maximum of 10 allowed. Within each objective, identify at least 1 activity, person/area responsible, time frame, and expected outcome. **Objectives can be edited, deleted, or added.** • **Justify edits in the Comments field** (e.g., Changed the number of webinars from 5 to 10 based on requested technical assistance topics from health centers). • **Deletions require a statement of progress and a justification for the deletion** (e.g., 2 of 5 webinars have been completed and the remainder will be completed by the end of the budget period. This objective is being deleted because our focus will shift to learning communities in Year 3 and a new objective has been added specific to these communities.) in the Provide Justification text box that appears when deleting an objective. • **Additions will still require a statement of progress** (e.g., No progress to date for this Year 3 objective).
Progress Report	NO	YES	Provide a progress description for each objective (limit 2,500 characters). If you do not need to make changes to the Project Work Plan, you will only need to complete this field.
Activity	YES	YES	Update the major activities to reflect activities planned for the upcoming budget period of July 1, 2013 through June 30, 2014 (limit 200 characters). There is no limit to the number of activities that may be added. **Justification is required in the Comments field for any edits, additions, or deletions.**
Expected Outcome	YES	YES	Identify what you anticipate will happen as a result of the proposed activities (i.e., quantifiable results). Describe what you hope to accomplish, such as the number of health centers you will train (limit 200 characters). There is no limit to the number of expected outcomes that may be added. **Justification is required in the Comments field for any edits, additions, or deletions.**

Field	Is this a Pre-Populated Field?	Is this Field Editable?	About this Field
Data Evaluation Measurements	YES	YES	The measurement is based on predicted changes by the end of the project period (limit 200 characters). If measurements have changed due to shifting conditions or organizational capacity, describe this in Item 2 of the Program Narrative Update and update your measurement. There is no limit to the number of measurements that may be added. **Justification is required in the Comments field for any edits, additions, or deletions.**
Person/Area Responsible	YES	YES	Identify at least 1 person/position that will be responsible and accountable for carrying out each activity (limit 200 characters). There is no limit to the number of person/area responsible that may be added. **Justification is required in the Comments field for any edits, additions, or deletions.**
Time Frame	YES	YES	Identify 1 expected time frame for carrying out each activity (limit 500 characters). **Justification is required in the Comments field for any edits, additions, or deletions.**
Comments	NO	YES	Provide justification for changes in this field (limit 2,500 characters). See the Objective Description row in this table for examples. Additionally, provide supplementary information related to entries in the Project Work Plan, as desired. **This field can be left blank for newly proposed objectives or if no changes are made to any objectives, activities, or activity details (i.e., person/area responsible, time frame, expected outcome).**

X. Appendix B: Performance Measures Form Instructions

A. Overview

The Performance Measures are performance improvement tools that provide a summary of **PROGRESS** towards the identified goals. You are required to complete the Performance Measures forms in EHB. The four required NCA performance measures are listed below:

- **Performance Measure 1:** National Grantee Satisfaction. On a scale from 1 to 10, where 1 means *Poor* and 10 means *Excellent*, please rate the overall T/TA services provided by the NCA.
- **Performance Measure 2:** Program Requirements T/TA. On a scale from 1 to 10, where 1 means *Not Very Helpful* and 10 means *Very Helpful*, how helpful are the NCA T/TA services in assisting Health Centers to successfully meet Health Center Program requirements?
- **Performance Measure 3:** Performance Improvement T/TA. On a scale from 1 to 10, where 1 means *Not Very Helpful* and 10 means *Very Helpful*, how helpful are the NCA T/TA services in enhancing the performance and operations of Health Centers?
- **Performance Measure 4:** Program Development/Analysis T/TA. On a scale from 1 to 10, where 1 means *Not Very Helpful* and 10 means *Very Helpful*, how helpful are the NCA T/TA services in supporting the program development/analysis of Health Centers?

Important Details about the Performance Measures

- Provide quantitative and qualitative updates on **PROGRESS TOWARD THE GOAL** for each performance measure included in the 2012 NCC submission. This includes the four required measures (listed above) and any additional measures proposed.
- The HRSA BPHC 2012 Grantee Satisfaction Survey did not address the four Performance Measures. NCAs should base progress on other available data sources such as Uniform Data System information and organizational surveys. If such data sources are not available, use the HRSA BPHC 2011 Grantee Satisfaction Survey data for the Quantitative Progress Toward Goal subfield and use anecdotal evidence for the Qualitative Progress Toward Goal subfield.

B. Other Performance Measures

In addition to the required four measures, NCAs may identify other measures relevant to their target audience(s). New performance measures may be added in the Performance Measures form. Additional measures must be defined by a numerator and a denominator, and progress must be tracked over time. If a self-defined “Other” performance measure is no longer tracked, it must be noted by including a justification in the Comments field as to why reporting is no longer possible and/or relevant.

C. How to Provide Updates in EHB

The performance measures proposed in your last NCC submission will pre-populate in the form. Provide quantitative and qualitative details on your progress toward each measure in the Progress Towards Goal field.

Note: In the table below, **items with an asterisk (*) should not be edited for the four required performance measures.** For these measures, complete the Progress Towards Goal field and Comments field, as applicable.

Table 3: Overview of Performance Measure Fields

Field	Is this a Pre-Populated Field?	Is this Field Editable?	About this Field
Core Function	YES	NO	This field contains the content area description for each required Performance Measure.
Performance Measure	YES	YES*****	This field defines each measure (limit 500 characters). ***Provide a justification*** for each edit in the Comments field.
Target Goal Description	YES	YES*****	This field provides an editable description of the target goal that is pre-populated with information from the most recent NCA application (limit 500 characters). ***Provide a justification*** for each edit in the Comments field.
Numerator Description	YES	YES*****	This field provides the description of the number that meets the criteria identified by the measure (e.g., Number of health centers who have attended at least 1 fiscal and program management T/TA workshop). ***Provide a justification*** for each edit in the Comments field. (This field is limited to 500 characters.)
Denominator Description	YES	YES*****	This field provides the description of the number to which the measure applies (e.g., Number of new and existing health center grantees). ***Provide a justification*** for each edit in the Comments field. (This field is limited to 500 characters.)
Baseline Data Baseline Year Measure Type Numerator Denominator	 YES YES YES YES	 YES* YES* YES* YES*	This field contains subfields that provide information regarding the initial threshold used to measure progress over the course of the project period. The Baseline Year subfield identifies the initial data reference point. The Measure Type subfield provides the unit of measure (e.g., percentage, ratio). ***Provide a justification*** for each edit in the Comments field.

Field	Is this a Pre-Populated Field?	Is this Field Editable?	About this Field
Projected Data	YES	YES*	This field is pre-populated with the goal for the end of the project period based on the most recent NCA NCC submission. ***Provide a justification*** for each edit in the Comments field.
Data Source and Methodology	YES	YES	Cite data sources and discuss the methodology used to collect data for the performance measures (limit 500 characters). ***Provide a justification*** for each edit in the Comments field.
Progress Towards Goal – *Quantitative*	YES	YES	Provide the most recent quantitative data (e.g., organizational data). ***If more current data are not available, leave the pre-populated data in place.***
Progress Towards Goal – *Qualitative*	NO	YES	**Qualitative information regarding contributing and/or restricting factors that have impacted the grantee's progress during the reporting period must be provided.** Use the Qualitative subfield to provide detailed major action steps and strategies completed to achieve each performance measure. Responses are limited to 500 characters. Updates exceeding this character limit should be included in the Program Narrative Update. ***If more current quantitative data are not available, use this field to describe progress made that is not reflected in the quantitative data.***
Comments	NO	YES	This is an optional text field. If edits or deletions to a performance measure are made, provide a justification in this field. This field has a 2,500 character limit. Updates exceeding this character limit should be included in the Program Narrative Update.