

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES



# 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 Application Package

*Use with HRSA notices of funding opportunities (NOFOs) that specify use of the **SF-424** Application Package*

*Updated March 14, 2017*

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## 1. INTRODUCTION

### 1.1. About HRSA

HRSA carries out its mission primarily through grants, cooperative agreements, and contracts to states, local governments, community and faith-based organizations, and academic institutions. HRSA's programs provide health care to people who are geographically isolated, economically or medically vulnerable. This includes people living with HIV/AIDS, pregnant women, mothers and their families, and those otherwise unable to access high quality health care. HRSA also supports the training of health professionals, the distribution of providers to areas where they are needed most, and improvements in health care delivery. In addition, HRSA oversees organ, bone marrow, and cord blood donation. It compensates individuals harmed by vaccination, and maintains a database that flags providers with a record of health care malpractice, waste, fraud and abuse for federal, state and local use.

Every year, HRSA programs serve tens of millions of people. In 2016, more than 24 million people (1 in 13 nationally) relied on a HRSA-supported health center for affordable, quality primary care. Some 10 million people receive primary medical, dental, or behavioral health care from a National Health Service Corps clinician. Half of pregnant women and one third of infants and children benefit from the Maternal and Child Health Block Grant. More than half of all people living with diagnosed HIV in the United States are served by the Ryan White HIV/AIDS Program.

For more information about HRSA, visit [Human Resources and Services Administration](http://www.hrsa.gov)

### 1.2. Document Purpose and Scope

The purpose of this document is to provide detailed instructions to help you (the applicant organization/agency) prepare and submit new, competing continuation, and competing supplement applications electronically to HRSA through [Grants.gov](http://Grants.gov). This *SF-424 Application Guide* is specific to HRSA notices of funding opportunities (NOFOs) (formerly known as funding opportunity announcements (FOAs)) using the Application for Federal Assistance SF-424<sup>1</sup> application package. **You must submit electronically through Grants.gov.** This *Guide* presents HRSA 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 NOFOs. This document also does not replace the [Health and Human Services Grants Policy Statement \(HHS GPS\)](#), which serves as the comprehensive source of grant information across the Department.

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<sup>1</sup> If you are applying for Research or Training awards that require the SF-424 Research and Related (R&R) application package, you must refer to HRSA's [SF-424 R&R Application Guide](#) for guidance.

Note: As of October 1, 2010, current awardees are no longer required to submit a full application to determine eligibility for funding of a successive budget period within their approved project period/period of performance. Instead, awardees only need to submit the streamlined Non-Competing Continuation (NCC) Progress Report for continued funding of the next budget period. For details and user guides, visit [HRSA Grants Website](#).

### **1.3. Document Version Control**

HRSA's Division of Grants Policy in the Office of Federal Assistance Management periodically updates and maintains this document.

### **1.4. Summary of Significant Changes**

3/14/17:

- Funding Opportunity Announcement (FOA) is now referred to as the Notice of Funding Opportunity (NOFO) to align with the terminology in [45 CFR part 75 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards \(UAR\)](#).
- Internal controls information added to [Standards for Financial Management](#) in Section 2.2. Administrative and National Policy Requirements.
- Section 3. Registering and Applying Through Grants.gov updated to align with the Workspace process, that allows a team of registered Grants.gov applicants to use a shared online space for completing individual forms and submitting the final application.
- Salary Limitation information/amounts updated in Sections [4.1.iv. Budget](#) and [v. Budget Narrative \(Personnel Costs\)](#).

## ***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 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 [HHS Grants Policy Statement](#). 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 Notice of Award (NOA)).

## 2.2. Administrative and National Policy Requirements

Successful applicants are required to comply with [45 CFR part 75 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards \(UAR\)](#).

In addition to the numerous administrative and national policy requirements imposed by regulation and by the [HHS GPS](#), HRSA stresses the following terms of every award:

### **Standards for Financial Management**

Recipients are required to meet the standards and requirements for financial management systems set forth in [45 CFR part 75](#). 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.

Internal controls must be in place to ensure that costs charged to HRSA grants are allowable, allocable to the HRSA grant, reasonable, necessary and documented. For example, controls must be in place to ensure that only actual time worked on HRSA projects are charged to HRSA grants, and that the time worked has management approval from the HRSA grant recipient. There also must be internal controls in place to ensure that costs charged to HRSA grants through sub-awards are monitored and evaluated by the HRSA grant recipient and that only allowable, allocable, reasonable, necessary and documented costs are charged to HRSA grants.

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.]

### **Accessibility Provisions and Non-Discrimination Requirements**

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person’s race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring that the programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see [HHS Limited English Proficiency \(LEP\)](#).

The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. Please see [HHS Section 1557 of the Patient Protection and Affordable Care Act](#); and [HHS Civil Rights for Providers of Health Care and Human Services](#).

Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see [HHS Discrimination on the Basis of Disability](#). Contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at [HHS Contact Information](#) or call 1-800-368-1019 or TDD 1-800-537-7697.

### **Acknowledgement of Federal Funding**

HRSA requires recipients to use the following acknowledgement and disclaimer on all products produced by HRSA funds:

“This project is/was supported by the Health Resources and Services Administration (HRSA) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by HRSA, HHS or the U.S. Government.”

Recipients are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other HRSA-supported publications and forums describing projects or programs funded in whole or in part with HRSA funding. Examples of HRSA-supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies and issues briefs.

### **Defense Of Marriage Act: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages**

*References: United States v. Windsor, 133 S.Ct. 2675 (June 26, 2013); § 3 of the Defense of Marriage Act, codified at 1 USC § 7.*

The following applies to **all HRSA grant programs except:**

- block grants governed by 45 CFR part 96,
- block grants governed by 45 CFR part 98, and
- grant awards made under titles IV-A, XIX and XXI of the Social Security Act.

A standard term and condition of award will be included in the NOA that states: "In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into

marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage."

### **Healthy People 2020**

Healthy People 2020 is a national initiative, led by HHS, that 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. More information about Healthy People 2020 may be found online at [Healthy People .gov](http://HealthyPeople.gov).

### **Mandatory Disclosures**

The non-federal entity or applicant for a federal award must disclose, in a timely manner, in writing to the HHS awarding agency or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award ([45 CFR § 75.113](http://www.ecfr.gov/current/title-45/chapter-I/subchapter-B/part-75/subpart-1.13/section-75.113)). Failure to make required disclosures can result in any of the remedies described in [45 CFR § 75.371](http://www.ecfr.gov/current/title-45/chapter-I/subchapter-B/part-75/subpart-1.13/section-75.371), including suspension or debarment. (See also 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

Submission is required for all applicants and recipients, in writing, to the awarding agency and to the HHS Office of Inspector General (OIG) all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to:

HRSA (The Awarding Agency)

#### **AND**

U.S. Department of Health and Human Services  
Office of Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW, Cohen Building  
Room 5527  
Washington, DC 20201  
URL: <http://oig.hhs.gov/fraud/report-fraud/index.asp>  
(Include "Mandatory Grant Disclosures" in subject line)

Fax: (202) 205-0604 (Include “Mandatory Grant Disclosures” in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

**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.

**Trafficking in Persons**

Awards issued under HRSA NOFOs 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 [Trafficking Victims Protection](#).

**NOTE:** The signature of the Authorized Organization Representative (AOR) on the application serves as the required certification of compliance for your organization regarding the administrative and national policy requirements.

**2.3. Compliance Requirements at a Glance**

For reference, the chart below provides compliance requirements by recipient and requirement type.

Compliance Requirements at a Glance			
Recipient Type	Administrative Requirements	Cost Principles	Audit Requirements
State, Local, & Tribal Governments	<a href="#">45 CFR part 75</a>	<a href="#">45 CFR 75; subpart E</a>	<a href="#">45 CFR 75; subpart F</a>
Colleges & Universities			
Non-Profits			
Hospitals		<a href="#">45 CFR part 75, Appendix IX</a>	
For-Profits		<a href="#">48 CFR subpart 31.2 (FAR 31.2)</a>	

Compliance Requirements at a Glance			
Recipient Type	Administrative Requirements	Cost Principles	Audit Requirements
Foreign		As stated above for each awardee type	<a href="#">45 CFR part 75</a> except where the HHS awarding agency determines that the application of these subparts would be inconsistent with the international obligations of the United States or the statutes or regulations of a foreign government.

## 2.4. Assurances and Certifications

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

Complete the required Certification Regarding Lobbying Form and, if applicable, the Disclosure of Lobbying Activities Form provided with the application package.

**NOTE:** The signature of the AOR on the application serves as the required certification of compliance for your organization regarding assurances and certification.

## 2.5. References

About HRSA

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

Grants.gov Online User Guide

<http://www.grants.gov/help/html/help/index.htm>

Grants.gov Workspace Overview

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

How to Apply for a Grant

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

Tips for Preparing Grant Proposals

<https://www.hhs.gov/grants/grants/get-ready-for-grants-management/tips-for-preparing-grant-proposals/>

System for Award Management ([SAM](#))

<https://www.sam.gov>

## 2.6. Definitions

Please refer to [45 CFR § 75.2 Definitions](#) and the [HHS GPS](#).

## 2.7. Acronyms

<b>AO</b>	Authorizing Official
<b>AOR</b>	Authorized Organization Representative
<b>BPHC</b>	Bureau of Primary Health Care
<b>BHW</b>	Bureau of Health Workforce
<b>CCR</b>	Central Contractor Registration (now defunct)
<b>CFDA</b>	Catalog of Federal Domestic Assistance
<b>CFR</b>	Code of Federal Regulations
<b>CGMO</b>	Chief Grants Management Officer
<b>DCA</b>	Division of Cost Allocation
<b>DSO</b>	Digital Services Operation
<b>DUNS</b>	Data Universal Numbering System
<b>EBiz POC</b>	E-Business Point of Contact
<b>EBs</b>	Electronic Handbooks
<b>EIN</b>	Employer Identification Number
<b>EO</b>	Executive Order
<b>FAQ</b>	Frequently Asked Questions
<b>FAR</b>	Federal Acquisition Regulation
<b>FFATA</b>	Federal Funding Accountability and Transparency Act
<b>FORHP</b>	Federal Office of Rural Health Policy
<b>FY</b>	Fiscal Year
<b>F&amp;A</b>	Facilities and Administration
<b>GMO</b>	Grants Management Officer
<b>GMS</b>	Grants Management Specialist
<b>GPS</b>	Grants Policy Statement
<b>HAB</b>	HIV/AIDS Bureau
<b>HHS</b>	Health and Human Services
<b>HRSA</b>	Health Resources and Services Administration
<b>HSB</b>	Healthcare Systems Bureau
<b>IE</b>	Internet Explorer
<b>MCHB</b>	Maternal and Child Health Bureau
<b>MPIN</b>	Marketing Partner ID Number
<b>MTDC</b>	Modified Total Direct Cost
<b>NCC</b>	Noncompeting Continuation

<b>NHAS</b>	National HIV/AIDS Strategy
<b>NOA</b>	Notice of Award
<b>NOFO</b>	Notice of Funding Opportunity
<b>OFAM</b>	Office of Federal Assistance Management
<b>OMB</b>	Office of Management and Budget
<b>ORO</b>	Office of Regional Operations
<b>OS</b>	Operating System
<b>PC</b>	Program Contact
<b>PD</b>	Project Director
<b>P.L.</b>	Public Law
<b>PMS</b>	Payment Management System
<b>PO</b>	Project Officer / Program Official
<b>POC</b>	Point of Contact
<b>R&amp;R</b>	Research and Related
<b>SAM</b>	System for Award Management
<b>SF</b>	Standard Form
<b>TA</b>	Technical Assistance
<b>TIN</b>	Tax Identification Number

### ***3. REGISTERING AND APPLYING THROUGH GRANTS.GOV USING WORKSPACE***

HRSA **requires** you to apply electronically through Grants.gov.

HRSA suggests submitting **applications to Grants.gov at least 3 days before the deadline** to allow for any unforeseen circumstances.

You are responsible for reading and complying with the Grants.gov Online User Guide, available at <http://www.grants.gov/help/html/help/index.htm>. The “Introduction to Grants.gov Video Series” is available via [YouTube](#).

See the Apply for Federal Grants as a Team with Grants.gov Workspace at [Workspace Overview](#). Workspace allows a team of registered Grants.gov applicants to use a shared online space for completing individual forms and submitting the final application. These forms can be filled out simultaneously by different users, instead of exchanging a single PDF package file via email or a flash drive. One of the benefits of Workspace is a set of shareable individual grant forms, rather than the legacy application package ([which will be phased out in December 2017](#)). You can see a chart of both ways to apply at [Apply for Grants](#). However, the instructions regarding the application process are for the new Workspace process.

Grants.gov requires registration and an annual update to the registration information. **If you do not complete the registration and update it annually, you will not be able to submit an application.**

A five-step registration process must be completed by every organization wishing to apply for a HRSA grant opportunity. The process will take anywhere from 3 business days to 3 weeks. **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 you have 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 by the E-Business Point of Contact (EBiz POC), then skip to the next section.

The Grants.gov registration process requires information in three separate systems:

- [Dun and Bradstreet](#)
- [System for Award Management \(SAM\)](#)
- [Grants.gov](#)

**You will not be able to successfully submit an application or accept an award without active and accurate information in each system.**

Registration information provided in these systems is verified among the Internal Revenue Service, System for Award Management (SAM), and Grants.gov. Therefore, registration information must be consistent in each of the three systems and must be updated annually in SAM. **If you do not complete the registration and update it annually, you will not be able to submit an application in Grants.gov and you will not be eligible for a deadline extension.**

If you need to register with Grants.gov, you can find detailed registration information on Grants.gov under the APPLICANTS tab as Applicant Resources: Organization Registration ([Organization Applicant Registration](#)). 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 9-digit number that identifies an organization. The Federal Government adopted the DUNS number to help track how federal grant money is distributed. Ask your grant administrator or Chief Financial Officer to provide your organization's DUNS number. An organization may have more than one DUNS number, so ensure consistent use of the appropriate organizational DUNS number in SAM and Grants.gov. If your organization does not have a DUNS number, you may request one online at [dun & bradstreet DUNS 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, allow up to 2 business days to obtain a DUNS number but it can occur in 1 business

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 replaced the Central Contractor Registration (CCR) and is the central government repository for organizations working with the Federal Government. In SAM, you must designate your organization’s EBiz POC who will create the organization’s Marketing Partner ID Number (MPIN) password. The EBiz POC will use the MPIN to designate AORs through Grants.gov.

### **Active SAM registration is a prerequisite to the successful submission of grant applications!**

You should monitor the following items:

- When does the SAM account expire?
- Does the organization need to complete the annual renewal of SAM registration?
- Who is the EBiz POC? Is this person still with the organization?

To learn more about SAM, visit [System for Award Management](#). View the SAM Video Tutorial for New Applicants created by the General Services Administration at [SAM Grants Registrants Webinar](#). For help using SAM, contact the Service Desk at [Federal Service Desk](#).

Note: SAM information must be updated at least every 12 months to remain active (for both awardees and sub-recipients). Annual updates take a minimum of 1 business day to take effect in Grants.gov. Grants.gov will reject submissions from applicants with expired registrations. Do not wait until the last minute to register in SAM. As stated in the [SAM Quick Start Guide for Grant Registrations](#): “Please give yourself plenty of time before your grant application submission deadline. Allow up to 10-12 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information.” The SAM registration must be active before you can proceed to step 3. Therefore, ***check for active registration well before the application deadline.***

**If you fail to allow ample time to complete registration with SAM or Grants.gov, you 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 website. If your organization is not registered, identify the primary contact who should register your organization. Visit the [SAM website](#) to register online or call 1-888-606-8220 to register by phone. Before registering, review the [SAM User Guide](#). If you experience any registration problems, contact the [Federal Service Desk](#) for assistance.

You must designate the organization's EBiz POC who will create the organization's Marketing Partner ID Number (MPIN) password. The EBiz POC will use the MPIN to designate AORs through Grants.gov.

If your organization is registered in SAM, ensure that you renew and revalidate your SAM registration annually, at least every 12 months from the date you previously registered to maintain an active status in SAM. If SAM registration expires, you will not be able to apply for or receive funding.

### **Step 3: Creating a Grants.gov Username & Password**

- After the SAM registration is complete, return to Grants.gov to establish an AOR. Only an AOR is authorized to submit grant applications for your organization.
- 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: EBiz POC Authorizes Grants.gov Roles**

- The EBiz POC uses the DUNS number and MPIN to authorize your AOR status.
- Only the EBiz POC may authorize AORs, who can also have the Manage Workspace role. In addition, for Workspace, the EBiz POC also approves the Manage Workspace, Just Manage Workspace, or No Role at all roles. For more information about roles, review the [Manage My Workspaces help article](#).
- Only approved/authorized AORs may submit on behalf of an organization.
- AORs that have not been approved by the EBiz POC will not be able to submit applications through Grants.gov.

### **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.

Allow for extra time if you do 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 1-5 business days.

Additional assistance with the registration process is available at Grants.gov under [ORGANIZATION REGISTRATION](#). In addition, under [APPLICANT RESOURCES](#) a variety of support options are available including FAQs, Glossary, Online User Guide & Checklists, Training, General Support, and Technical Support.

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. When contacting Grants.gov you should always obtain a case number. You may also receive assistance via email at [Support@Grants.gov](mailto:Support@Grants.gov) or access the Grants.gov [Self-Service Knowledge Base](#).

- **NOTE:** It is HIGHLY recommended that this registration process is completed at least 2 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 you to apply for grants online. The information you need to register and submit your application online can be found at Grants.gov under the APPLICANTS *tab* under [Apply for Grants](#). The site also contains an [Online User Guide](#).

The application will be one or a combination of three funding opportunity types indicated on the cover of the NOFO: new, competing continuation, and competing supplement. All of these competing applications are submitted electronically to HRSA through Grants.gov using the Application for Federal Assistance SF-424 form. However, if you are applying for Research or Training awards that require the SF-424 Research and Related (R&R) application package, you must refer to HRSA's [SF-424 R&R Application Guide](#) for guidance.

#### 3.2.1. Find Funding Opportunity

There are three ways to search for HRSA funding opportunities on Grants.gov.

1. Enter keyword or phrase in the Search box at the top of the home page at [grants.gov](https://www.grants.gov).
2. Click on one of the following tabs in the middle of the home page to: Browse Newest, Browse Categories, Browse Agencies, or Browse Eligibilities.
3. Click the [SEARCH GRANTS](#), enter the NOFO number and/or CFDA number and then select the funding opportunity for which you wish to apply. Refer to the NOFO for eligibility criteria. Otherwise, use the various filters to help narrow your search.

If you are an existing awardee and are submitting a competing continuation or competing supplement application, search for the funding opportunity under the APPLICANTS *tab* under [Apply for Grants](#). Enter the NOFO number provided in the field, Funding Opportunity Number. (Example HRSA-17-001.)

#### 3.2.2. Create a Workspace Package

Grants.gov recommends choosing Option 1: Apply Now Using Workspace to create an online workspace that allows you to complete the package online and route it through

your organization for review before submitting. An individual instance of a workspace must be created for each funding opportunity for which you intend to apply. Only a user with the Manage Workspace role can create a workspace. Upon creating the workspace, this user inherits the Workspace Owner access level, which makes the user responsible for managing access (i.e., Workspace Participants) to that workspace. Access the NOFO by clicking on the "Instructions" button. For step-by-step details visit [Create a Workspace Package](#).

### 3.2.3. Complete a Workspace Package

For detailed instructions on how to complete a workspace package, visit [Complete a Workspace Package](#).

Complete the application using both the built-in instructions and the instructions provided in the NOFO. For assistance with program guidance related questions, contact the Program Contact (PC) listed in Section VII of the NOFO. For assistance with budget or other administrative related questions, contact the Grants Management Specialist (GMS) listed in Section VII of the NOFO.

- **NOTE:** Awardees with competing continuation and competing supplement applications should provide their 10-digit grant number [box 4b from the NOA] in the Federal Award Identifier field (box 5b in SF-424).

### 3.2.4. Submit a Completed Workspace Package

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 funding opportunity number, you must apply to the correct funding opportunity number on or before the posted deadline.**

If you are a Workspace Participant with the AOR role, you may submit the application through Workspace by clicking the Sign and Submit button on the Manage My Workspace page, under the Forms tab. The Sign and Submit button can be found in the Workspace Actions box. The button will be visible and activated for Workspace Participants with the AOR role under the following circumstances:

- The workspace does not have an alert message highlighting a submission issue
- The forms selected for submission are in the "Passed" status
- The workspace has an active SAM registration
- The application package's Open Date is in the past

After you hit the “Sign and Submit” button, you will be prompted to enter your password. Re-entering your password on the Sign and Submit pop-up window is an additional security measure, which signs your name to the application as an official representative of the organization. After successful password entry, a confirmation page will open and the workspace status will change to Submitted. Retain the Grants.gov application tracking number that you receive in the application submission confirmation screen. This tracking number is also emailed to you upon submission. (GRANTXXXXX). Please record this number so that you may refer to it for all subsequent help.

For more details on submitting a completed workspace package, visit [Submit a Workspace Package](#).

Direct questions regarding application submission to the Grants.gov Call Center at 1-800-518-4726 (International callers, dial 606-545-5035). Grants.gov 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 associated with the correct DUNS number in order to submit the application package.

### 3.2.5. Verify Status of Workspace Package in Grants.gov

Once Grants.gov has received your submission, Grants.gov will send email messages to the Workspace owner and participants with the AOR role advising of the progress of the application through the system. You can find the Grants.gov Tracking Number and the package status on the Manage My Workspace page, under the Details tab. In addition, you can track the submission in one of the following ways:

- When logged in, click the Check My Application Status link under the Applicants drop-down menu and search for the submitted package.
- When logged in, click the Check My Application Status link on the Applicant Center page under the Applicant Actions heading on the left menu, and search for the submitted package.
- When not logged in, click on the Track My Application link under the Applicant drop-down menu and enter the Grants.gov Tracking Number. Then click the Submit Tracking Number(s) button. The results page will appear with a listing of the valid tracking numbers entered. The information listed includes the CFDA Number, Opportunity Number, Competition ID, Grants.gov Tracking Number, Date/Time Received, Status, and Status Date.

For more details, visit [Track My Application Package](#).

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 HRSA 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 your SAM registration is current. Grants.gov will not validate application content, attachments, page limit, or your organization's eligibility; therefore, you should carefully review your submission.

If your application is 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, you 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.

You can check the status of your application(s) any time after submission by visiting Grants.gov's Track My Application page at [Track My Application Package](#). This link will also be included in the confirmation email that you receive from Grants.gov.

If there are no errors, HRSA will download the application. 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 HRSA receives your application, it will be processed to ensure that the application is submitted for the correct funding opportunity, with the correct grant number (if applicable), and applicant/awardee organization. Upon this processing, which is expected to take up to 2-3 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 Agency 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) Confirms receipt in the system;
- 2) Indicates whether the application has been successfully validated or has been rejected due to errors;
- 3) Indicates the application has been successfully downloaded at HRSA; and
- 4) Notifies you 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 you to track your 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 [Track and check the status of your submitted applications](#).

### 3.5. Late Applications

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

### 3.6. Requesting a Waiver from the Electronic Submission Requirement

HRSA **requires** you to apply electronically through Grants.gov and have the application validated under the correct funding opportunity number on or before the deadline date and time. The registration and application process protects you against fraud and ensures that only authorized representatives from an organization can submit an application. You are responsible for maintaining these registrations, which should be completed well in advance of submitting an application. You **must** submit in this manner unless you obtain a written exemption from this requirement, within 5 calendar days of the opportunity's closing date, by the Director of HRSA's Division of Grants Policy (DGP).

You must request an exemption in writing from [DGPWaivers@hrsa.gov](mailto:DGPWaivers@hrsa.gov), and provide details as to why you 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 email request:

- HRSA funding opportunity number
- Organization's name
- Address
- Telephone number
- DUNS number
- Name, address, and telephone number of the PD
- 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 in the Office of Federal Assistance Management 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 validated by the deadline. Suggestion: submit application to Grants.gov at least 3 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 your part. 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 (e.g., a prolonged blackout), or in the rare event of a validated technical issue on the side of the government that prevented you from applying before the deadline. The CGMO or designee will determine the affected geographical area(s) or other applicant group parameters.

#### **4. GENERAL INSTRUCTIONS FOR APPLICATION SUBMISSION**

HRSA **requires** you to apply electronically through Grants.gov. You must download the Standard Form 424 (SF-424) application package associated with the funding opportunity following the directions provided at [Grants.gov](https://www.grants.gov). Applications must be submitted in the English language and must be in the terms of U.S. dollars ([45 CFR § 75.111\(a\)](#)).

The following instructions are applicable to all submissions unless otherwise noted in the relevant NOFO. 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 notes for applicants:

- Changes to improve grant award data accuracy have led HHS to require that applicant street addresses (SF4-24 cover page and Project/Performance Site Location Form) contain a valid 9-digit zip code. Use the following USPS.com link to find your 9-digit zip code: [Look Up a ZIP Code](#)
- 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 Project Director 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.

- Enter the amount requested during the first budget period in item 18.a.

### **DUNS Number**

Your organization (and subrecipients of HRSA award funds) is required to have a DUNS number in order to apply for a grant or cooperative agreement from the Federal Government. Include the Organizational DUNS number in form SF-424 (item 8.c. 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. You should take care in entering the correct DUNS number in the application.

Additionally, your 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 your organization’s SAM registration is active and the Marketing Partner ID Number (MPIN) is current. Organizations will not be able to submit an application or accept an award if SAM registration is not complete and accurate. Information about registering with SAM can be found at [SAM](#).

### **CFDA Number**

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

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

If a NOFO is subject to EO 12372, “Intergovernmental Review of Federal Programs,” it will be noted in Section IV.5. Intergovernmental Review of the funding opportunity. Please refer to section 19 on the SF-424.

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

Program X is a program subject to the provisions of Executive Order 12372, as implemented by 45 CFR part 100. See Executive Order 12372 in the [HHS Grants Policy Statement](#).

[EO 12372](#) allows states the option of setting up a system for reviewing applications from within their states for assistance under certain federal programs. Find information on states that have chosen to set up such a review system and their corresponding [State Single Points of Contact](#).

All applicants other than federally recognized Native American tribes or tribal organizations should contact their Single Point of Contact 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.

**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 may differ from those offered by Grants.gov. Follow the instructions included in the program-specific NOFO and the instructions below when completing the project budget forms.**

The Total Project or Program Costs are the total allowable costs (inclusive of direct **and** indirect costs) incurred by the recipient to carry out a HRSA-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, as applicable.

**Classification of Costs:**

There is no universal rule for classifying certain costs as either direct or indirect facilities and administration (F&A) under every accounting system. A cost may be direct with respect to some specific service or function, but indirect with respect to the federal award or other final cost objective. Therefore, it is essential that each item of cost incurred for the same purpose be treated consistently in like circumstances either as a direct or an indirect F&A cost in order to avoid possible double-charging of federal awards. Guidelines for determining direct and indirect F&A costs charged to federal awards are provided in [45 CFR part 75, subpart E](#).

**For multi-year non-construction projects:**

Complete Sections A – F of the SF-424A Budget Information – Non-Construction Programs form included with the application package for each year of the project period. The budget period is for 1 year. However, you **must** submit 1-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 4 years of the project. 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 Section B of the SF-424A as an Attachment (specific attachment number will be listed in the NOFO - **not** counted in the page limit).

Section C – Non-Federal Resources: complete **only if** Section III. 2. Cost Sharing/Matching of the NOFO indicates that cost sharing/matching is required. Lines 8-11 correspond to the first 4 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 NOFO).

Section D – Forecasted Cash Needs: If no cost sharing/matching is required, complete only line “13. Federal” in the first column titled “Total for 1<sup>st</sup> Year.” If cost sharing/matching is required, complete all three lines “13. Federal,” “14. Non-Federal,” and “15. Total (Sum of lines 13 and 14)” in the first column titled “Total for 1<sup>st</sup> 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 2<sup>nd</sup> year, (c) *Second* being the 3<sup>rd</sup> year, etc.

Section F – Other Budget Information  
Complete as appropriate.

If the NOFO notes that the program is subject to the General Provisions of P.L. 114-113, the following Salary Limitation applies:

**Salary Limitation:**

The Consolidated Appropriations Act, 2016 (P.L. 114-113), Division H, Section 202, provides a salary rate limitation. 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, which is \$187,000. 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 your organization. This salary limitation also applies to subrecipients under a HRSA grant or cooperative agreement. Note that these or other salary limitations will apply in FY 2017, as required by law.

See the breakdown and examples of the limitation below:

Individual’s <i>actual</i> base full time salary:	\$255,000
50 percent of time will be devoted to project	
Direct salary	\$127,500
Fringe (25 percent of salary)	\$31,875
Total	\$159,375

**Amount that may be claimed on the application budget due to the legislative salary limitation:**

Individual's base full time salary *adjusted* to Executive Level II: \$187,000

50 percent of time will be devoted to the project

Direct salary **\$93,500**

Fringe (25 percent of salary) **\$23,375**

Total amount **\$116,875**

**Personnel Justification Table**  
*(varied FTE percentages)*

Name	Position Title	% of FTE	Base Salary	Adjusted Annual Salary*	Federal Amount Requested
J. Smith	CEO	50	\$255,000	\$187,000	\$ 93,500
C. Moore	Physician	50	\$150,000	No adjustment needed	\$ 75,000
R. Doe	Nurse Practitioner	100	\$75,950	No adjustment needed	\$ 75,950
M. Green	Dentist	100	\$200,000	\$187,000	\$187,000
D. Jones	Data/AP Specialist	25	\$ 33,000	No adjustment needed	\$ 8,250
H. Black	Outreach Director	50	\$ 65,000	No adjustment needed	\$ 32,500
	<b>TOTAL</b>		<b>\$778,950</b>		<b>\$472,200</b>

\*used only when salary is over limitation of \$187,000

Finally, please remember that in order to be considered as allowable costs on your HRSA grant, you need to ensure that personnel costs are supported by official records that accurately reflect the work performed and that internal controls provide reasonable assurance that the personnel costs are accurate, allowable, and allocable to the HRSA award.

**Funding Restrictions (in general)**

You may request no more than the ceiling amount listed in Section II.2. Summary of Funding and Section IV.6. Funding Restrictions of the NOFO. 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.

### *Unallowable Costs*

The governing cost principles address selected items of cost. The NOFO 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 [Subpart E – Cost Principles at 45 CFR part 75](#). 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 information provided here and in the regulations that are referenced.

Also note that a cost is not allowable if it is not reasonable, necessary, allocable to the award, or adequately documented (45 CFR § 75.403).

Item	Description
Advertising and Public Relations	Conditionally allowable. See <a href="#">45 CFR § 75.421</a> for details.
Advisory Councils	Costs incurred by advisory councils or committees are unallowable <b>unless</b> authorized bylaw, the HHS awarding agency or as an indirect cost where allocable to federal awards. See 45 CFR § 75.444, applicable to states, local governments and Indian tribes.
Alcoholic Beverages	Costs of alcoholic beverages are unallowable.
Bad Debts	Unallowable.
Entertainment Costs	Conditionally unallowable. This includes the cost of amusements, social activities, and related incidental costs. <a href="#">45 CFR § 75.438</a> clarifies when entertainment costs may be charged to a federal award with prior approval.
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

Item	Description
	application, patent maintenance, or recordation of patent-related information.
Lobbying	<p>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 or cooperative agreement may be allowable. The recipient should obtain an advance understanding with the GMS if it intends to engage in these activities. See <a href="#">“Restriction on Lobbying”</a> below and at <a href="#">45 CFR § 75.450</a> for additional descriptions and examples of prohibited activities. View a webinar on <a href="#">“The Ins and Outs of Lobbying for HRSA Grantees”</a>.</p>
Meals	<p>Generally unallowable except for the following:</p> <ul style="list-style-type: none"> <li>• Subjects and patients under study</li> <li>• Where specifically approved as part of the project or program activity, e.g., in programs providing children’s services</li> <li>• When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement</li> <li>• As part of a per diem or subsistence allowance provided in conjunction with allowable travel.</li> <li>• 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.</li> </ul> <p>Guest meals are not allowable. (See “Consumer/Provider Board Participation” in the HHS GPS regarding the allowability of the cost of meals for consumer and provider board participants in federal award-supported activities.)</p>
Pre-award Costs	<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 HRSA or authorized under expanded authority.</p>

Item	Description
	<p>Where authorized by HRSA as an expanded authority, a recipient may, at its own risk and without HRSA 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"> <li>• are necessary to conduct the project or program, and</li> <li>• would be allowable under the grant or cooperative agreement, if awarded.</li> </ul> <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 HRSA prior approval before incurring pre-award costs. HRSA 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>
Promotional Items (SWAG)	Promotional items and memorabilia (e.g., pencils, cups, t-shirts, cookbooks, bags), gifts, and souvenirs designed to promote the recipient’s organization are unallowable as advertising/public relations costs.

Finally, even if a cost is not included on the above list, if there is not adequate documentation of particular costs, such as vouchers, invoices, timekeeping records, etc. with enough detail to determine if the cost is allowable, then the organization’s annual audit might reflect that the costs cannot be charged to the HRSA grant and a refund will be necessary if the costs remain undocumented.

**Funding Restrictions:** If the NOFO notes that the program is subject to the General Provisions of P.L. 114-113, the following legislative mandates are in effect and organizations should ensure that they have policies and procedures in place, and effective financial management practices, to avoid expending any HRSA funds on prohibited activities. Your organization must comply with all legal requirements and restrictions applicable to the receipt of federal funding including statutory restrictions on use of funds for lobbying, executive salaries, gun control, abortion, etc. Like those for all other applicable grants requirements, the effectiveness of these policies, procedures and controls is subject to audit.

1. Salary Limitation (Section 202)

2. Gun Control (Section 210)
3. Anti-Lobbying (Section 503)
4. Acknowledgment of Federal Funding (Section 505)
5. Restriction on Abortions (Section 506)
6. Exceptions to Restriction on Abortions (Section 507)
7. Ban on Funding Human Embryo Research (Section 508)
8. Limit on Use of Funds for Promotion of Legalization of Controlled Substances (Section 509)
9. Dissemination of False or Misleading Information (Section (515(b))
10. Restriction on Distribution of Sterile Needles (Section 520)
11. Restriction of Pornography on Computer Networks (Section 521)
12. Restriction on Funding ACORN (Section 522)

**Details:**

1. Salary Limitation (Section 202)

"None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II."

The Executive Level II salary increased to \$187,000 effective January 2017.

This amount reflects an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to subawards/subcontracts under an HRSA grant or cooperative agreement.

2. Gun Control (Section 210)

"None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control."

3. Anti-Lobbying (Section 503)

“(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.”

#### 4. Acknowledgment of Federal Funding (Section 505)

"When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state – (1) the percentage of the total costs of the program or project which will be financed with Federal money; (2) the dollar amount of Federal funds for the project or program; and (3)

percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources."

5. Restriction on Abortions (Section 506)

“(a) None of the funds appropriated in this Act, and none of the funds in any trust fund to which funds are appropriated in this Act, shall be expended for any abortion.

(b) None of the funds appropriated in this Act, and none of the funds in any trust fund to which funds are appropriated in this Act, shall be expended for health benefits coverage that includes coverage of abortion.

(c) The term “health benefits coverage” means the package of services covered by a managed care provider or organization pursuant to a contract or other arrangement.”

6. Exceptions to Restriction on Abortions (Section 507)

“(a) The limitations established in the preceding section shall not apply to an abortion – (1) if the pregnancy is the result of an act of rape or incest; or (2) in the case where a woman suffers from a physical disorder, physical injury, or physical illness, including a life-endangering physical condition caused by or arising from the pregnancy itself, that would, as certified by a physician, place the woman in danger of death unless an abortion is performed.

(b) Nothing in the preceding section shall be construed as prohibiting the expenditure by a State, locality, entity, or private person of State, local, or private funds (other than a State’s or locality’s contribution of Medicaid matching funds).

(c) Nothing in the preceding section shall be construed as restricting the ability of any managed care provider from offering abortion coverage or the ability of a State or locality to contract separately with such a provider for such coverage with State funds (other than a State’s or locality’s contribution of Medicaid matching funds).

(d)(1) None of the funds made available in this Act may be made available to a Federal agency or program, or to a State or local government, if such agency, program, or government subjects any institutional or individual health care entity

to discrimination on the basis that the health care entity does not provide, pay for, provide coverage of, or refer for abortions.

(d)(2) In this subsection, the term “health care entity” includes an individual physician or other health care professional, a hospital, a provider-sponsored organization, a health maintenance organization, a health insurance plan, or any other kind of health care facility, organization, or plan.”

#### 7. Ban on Funding of Human Embryo Research (Section 508)

“(a) None of the funds made available in this Act may be used for – (1) the creation of a human embryo or embryos for research purposes; or (2) research in which a human embryo or embryos are destroyed, discarded, or knowingly subjected to risk of injury or death greater than that allowed for research on fetuses in utero under 45 CFR 46.204(b) and section 498(b) of the Public Health Service Act (42 U.S.C. 289g(b)).

(b) For purposes of this section, the term “human embryo or embryos” includes any organism, not protected as a human subject under 45 CFR 46 as of the date of the enactment of this Act, that is derived by fertilization, parthenogenesis, cloning, or any other means from one or more human gametes or human diploid cells.

#### 8. Limitation on Use of Funds for Promotion of Legalization of Controlled Substances (Section 509)

“(a) None of the funds made available in this Act may be used for any activity that promotes the legalization of any drug or other substance included in schedule I of the schedules of controlled substances established under section 202 of the Controlled Substances Act except for normal and recognized executive-congressional communications.

(b)The limitation in subsection (a) shall not apply when there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.”

9. Dissemination of False or Deliberately Misleading Scientific Information (Section 515(b))

“None of the funds made available in this Act may be used to disseminate information that is deliberately false or misleading.”

10. Restriction on Distribution of Sterile Needles (Section 520)

“Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug: Provided, That such limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant State or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the State or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance with State and local law.”

11. Restriction of Pornography on Computer Networks (Section 521)

“(a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

(b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.”

12. Restrictions on Funding ACORN (Section 522)

“None of the funds made available under this or any other Act, or any prior Appropriations Act, may be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, allied organizations, or successors.”

**v. Budget 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 1 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 5 years)**

NOFOs invite applications for project periods of 1 to up to 5 years. Generally, awards, on a competitive basis, will be for a 1-year budget period; although the project period may be up to 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 1-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 NOFO, include the following in the Budget Narrative:

*Personnel Costs:* Explain personnel costs 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 NOFO notes that the program is subject to the General Provisions of P.L. 114-113, the following applies: Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II or \$187,000. 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. Provide an individual's actual base salary if it exceeds the cap. See the [Personnel Justification Table](#) in the Budget section.

*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 NOFO notes that the program is subject to the General Provisions of P.L. 114-113, the following applies: If an individual's base salary exceeds the legislative salary cap (i.e., \$187,000), adjust fringe proportionally.

*Travel:* List travel costs according to local and long distance travel. For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel. 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 1 or more years). For example, large items of medical equipment.

*Supplies:* List the items that the project will use to implement the proposed project. Separate items into three categories: office supplies (e.g., paper, pencils), medical supplies (e.g., syringes, blood tubes, gloves), and educational supplies (e.g., brochures, videos). Items must be listed separately.

Per 45 CFR § 75.321, property will be classified as supplies if the acquisition cost is under \$5,000. Note that items such as laptops, tablets, and desktop computers are classified as a supply if the value is under the \$5,000 equipment threshold.

*Contractual/Subawards/Consortium/Consultant:* Provide a clear explanation as to the purpose of each contract/subaward, how the costs were estimated, and the specific contract/subaward deliverables. You should not provide line item details on proposed contracts, rather you should provide the basis for your cost estimate for the contract. You are responsible for ensuring that your organization or institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring all contracts/subawards. Recipients must notify potential subrecipient that entities receiving subawards must be registered in SAM and provide the recipient with their DUNS number. For consultant services, list the total costs for all consultant services. In the budget narrative, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs.

For subawards to entities that will help carry out the work of the grant, you should describe how you will monitor their work to ensure the funds are being properly used.

Per the Suspension and Debarment rules in the Uniform Administrative Requirements, as implemented by HRSA under [45 CFR § 75.212](#), non-federal entities and contractors are subject to the non-procurement debarment and suspension regulations implementing Executive Orders 12549 and 12689, 2 CFR parts 180 and 376. These regulations restrict awards, subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

*Other:* Include all costs that do not fit into any other category and provide an explanation of each cost in this category (e.g., EHR provider licenses, 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.

You may include the cost of access accommodations as part of your project's budget, including sign interpreters, plain language and health literacy print materials in alternate formats (including Braille, large print, etc.); and linguistic competence modifications (e.g., translation or interpretation services).

*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 some institutions, the term "facilities and administration" (F&A) is used to denote indirect costs. If your organization does not have an indirect cost rate, you may wish to obtain one through HHS's Division of Cost Allocation (DCA). Visit [DCA's website](#) 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, attach a copy of the indirect cost rate agreement. If the indirect cost rate agreement is required per the NOFO, it will not count toward the page limit. Any non-federal entity that has never received a negotiated indirect cost rate, (except a governmental department or agency unit that receives more than \$35 million in direct federal funding) may elect to charge a de minimis rate of 10 percent of modified total direct costs (MTDC) which may be used indefinitely. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time.

\*Clarifications below codified by HHS and added to [45 CFR § 75.414](#), effective on January 11, 2017:

**§ 75.414 Indirect (F&A) costs.**

\* \* \* \* \*

(c)(1)

- (i) Indirect costs on training grants are limited to a fixed rate of eight percent of MTDC exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of \$25,000;
- (ii) Indirect costs on grants awarded to foreign organizations and foreign public entities and performed fully outside of the territorial limits of the U.S. may be paid to support the costs of compliance with federal requirements at a fixed rate of eight percent of MTDC exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of \$25,000; and,
- (iii) Negotiated indirect costs may be paid to the American University, Beirut, and the World Health Organization.

\* \* \* \* \*

(f) In addition to the procedures outlined in the appendices in paragraph (e) of

this section, any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in paragraphs (c)(1)(i) and (ii) and section (D)(1)(b) of appendix VII to this part, may elect to charge a de minimis rate of 10 percent of modified total direct costs (MTDC) which may be used indefinitely. As described in § 75.403, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time.

\* \* \*

**vi. Staffing Plan and Personnel Requirements**

You 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 NOFO*. 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 NOFO*. When applicable, biographical sketches should include training, language fluency and experience working with the cultural and linguistically diverse populations that are served by your programs. Finally, you should describe your method for ensuring that only actual work performed will be charged to the grant and how that method meets federal cost principle requirements under § 75.430 Compensation—personal services.

**vii. Assurances**

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

If research involving human subjects is anticipated, you must meet the requirements of the HHS regulations to protect human subjects from research risks as specified in the Code of Federal Regulations, [Title 45 – Public Welfare, Part 46 – Protection of Human Subjects \(45 CFR part 46\)](#), available online.

If research involving human subjects is anticipated, you must hold a Federal Wide Assurance (FWA) of compliance from the Office of Human Research Protections (OHRP) prior to award. You must provide your Human Subject Assurance Number (from the FWA) in the application; if you do not have an assurance, you must indicate in the application that you will obtain one from OHRP prior to award.

**viii. Certifications**

Complete the required Certification Regarding Lobbying Form and, if applicable, the Disclosure of Lobbying Activities Form provided with the application package.

Lobbying

1) No federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or

employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the applicant must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

3) Recipients of HRSA awards shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Federal Debt

Any organization or individual that is indebted to the United States, and has a judgment lien filed against it for a debt to the United States, is ineligible to receive a federal grant. By signing the SF-424, the applicant is certifying that they are not delinquent on federal debt in accordance with OMB Circular A-129. (Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, guaranteed and direct student loans, benefits that were overpaid, etc.). If an applicant is delinquent on federal debt, they should attach an explanation that includes proof that satisfactory arrangements have been made with the Agency to which the debt is owed. This explanation should be uploaded as an Attachment.

### Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification

By submitting this proposal, the prospective recipient is providing the certification set out below:

- A. This certification in this clause is a material representation of fact. If it is later determined that the prospective recipient knowingly submitted an erroneous certification, in addition to other remedies available to the Federal Government, the Department may pursue available remedies, including but not limited to, suspension and/or debarment.
- B. The prospective recipient shall provide immediate written notice to HRSA if at any time the recipient learns that its certification was erroneous when submitted, or had become erroneous due to changed circumstances.
- C. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this certification, are defined in [2 CFR part 180](#), as supplemented by [2 CFR part 376](#).
- D. The prospective recipient agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under [2 CFR part 180](#), or [48 CFR part 9, subpart 9.4](#), debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized in writing by HRSA.
- E. The prospective recipient further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions, and receive a copy of the signed attestation by such lower tier contractor/subawardee.
- F. A recipient may rely upon a certification of a prospective recipient in a lower tier covered transaction that neither it nor its principals, are proposed for debarment under [2 CFR part 180](#) or [48 CFR part 9, subpart 9.4](#), debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. HRSA strongly encourages each participant to check the Excluded Parties database in the [System for Award Management](#).
- G. Nothing contained in this certification requires establishment of a system of records in order to provide the certification required by this certification.
- H. Except for transactions authorized under paragraph E of this statement, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under [2 CFR part 180](#) or [48 CFR part 9, subpart 9.4](#), suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Department may pursue available remedies, including, but not limited to, suspension and/or debarment.

**ix. Project Abstract**

Provide a summary of the application. You must upload the abstract on the second page of SF-424 - Box 15: Select “Add Attachments” to upload this information. 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. See the NOFO for additional information that may be required in the project abstract.

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

Place the following at the top of the abstract:

- Project Title
- Applicant Organization Name
- Address
- Project Director Name
- Contact Phone Numbers (Voice, Fax)
- Email Address
- Website 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 NOFO, indicate here.

**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. See the NOFO for specific narrative instructions.

**xi. Attachments**

Provide the attachments as specified in the NOFO to complete the content of the application. Unless otherwise noted, attachments count toward the application page limit specified in the NOFO. **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 single-spaced and submitted in not less than a 12-point font. Applications not adhering to 12-point font requirements may be deemed non-responsive and returned. For charts, graphs, footnotes, and budget tables, you may use a different pitch or size font but not less than 10 point 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, ensure that the application can be printed on 8½” x 11” white paper. Margins must be at least one inch at the top, bottom, left and right of the paper. 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 NOFO, 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 you have formatted them. If using Excel or other spreadsheet documents, be aware that reviewers will only see information that is set in the “Print Area” of the document.

#### **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**

- Use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space ( ), period, parenthesis ( ), curly braces { }, square brackets [ ], ampersand &, tilde ~, exclamation point !, Comma , Semicolon; Apostrophe ‘, At sign @, Number sign #, Dollar Sign \$, Percent Sign %, Plus sign +, Equal sign =.
- Limit the file attachment name to under 50 characters.

Your application may be rejected by Grants.gov if you use 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 a standard order of forms (see the table on the next two pages). The NOFO also provides you with explicit instructions where to upload specific Attachments 1 to maximum of 15.

## SF-424 Application for Federal Assistance – 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.
- For electronic submissions, you 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 the second page of SF-424 - Box 15: Select “Add Attachments” to upload the project abstract.	Required attachment. Counted in the page limit. Refer to <a href="#">Section 4.1.ix</a> of this <i>SF-424 Application Guide</i> and the NOFO for detailed instructions, if applicable.
Additional Congressional District	Attachment	Can be uploaded on the third page of SF-424 - Box 16	Counted in the page limit.
Project Narrative File(s) Attachment Form	Form	Supports the upload of Mandatory Project Narrative document	Not counted in the page limit.
Mandatory Project Narrative	Attachment	Must be uploaded in Project Narrative File Attachment form. Click the “Add Mandatory Project Narrative File” button.	Required attachment. Counted in the page limit. Refer to the NOFO 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 File(s) Attachment Form	Form	Supports the upload of Mandatory Budget Narrative.	Not counted in the page limit.

Application Section	Form Type	Instruction	HRSA/Program Guidelines
Mandatory Budget Narrative	Attachment	Must be uploaded in Budget Narrative File(s) Attachment form.	Required attachment. Counted in the page limit. Refer to the <a href="#">Section 4.1.v</a> of this <i>SF-424 Application Guide</i> and the NOFO 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 Location(s) <sup>2</sup>	Form	Supports primary and 299 additional sites in structured form.	Not counted in the page limit.
Additional Performance Site Location(s) <sup>2</sup>	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.
Key Contacts Form	Form	Provides information on principals* and key personnel**.	Required. Not counted in the page limit. Note: HRSA requires the “Middle Name” for each contact. If the contact has no middle name, insert “N/A.”
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 NOFO for <b>specific</b> sequence. Counted in the page limit.

<sup>2</sup> Changes to improve grant award data accuracy have led HHS to require that applicant street addresses (SF4-24 cover page and Project/Performance Site Location Form) contain a valid 9-digit zip code. Use the following USPS.com link to find your 9-digit zip code: [Look Up A Zip Code](#).

- To ensure that attachments are organized and printed in a consistent manner, follow the order provided in the NOFO. 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 NOFO.
- 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.

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

**\*Principal:**

Per 2 CFR § 180.995,

(a) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or

(b) A consultant or other person, whether or not employed by the participant or paid with federal funds, who—

(1) Is in a position to handle federal funds; (2) Is in a position to influence or control the use of those funds; or, (3) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.

Per 2 CFR § 376.995,

Individuals, in addition to those listed at 2 CFR § 180.995, who participate in HHS covered transactions including:

(a) Providers of federally required audit services; and

(b) Researchers.

**\*\*Key Personnel:** Per the [HHS GPS](#), the Principal Investigator/Project Director (PI/PD) and other individuals who contribute to the programmatic development or execution of a project or program in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.

#### 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 NOFO when printed by HRSA. The page limit includes the abstract, project and budget narratives, attachments, and letters of commitment and support required in the NOFO. Standard OMB-approved forms included in the application package, an organization's approved Indirect Cost Rate Agreement, and proof of non-profit status are NOT included in the page limit. All other documents will count toward the page limit, unless noted in the NOFO. **We strongly urge you to take appropriate measures to ensure the application does not exceed the specified page limit.**

**Applications must be complete, within the specified page limit, and validated under the correct funding opportunity number prior to the deadline to be considered under the funding opportunity.**

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

- **NOTE:** Applications that exceed the specified limits will be deemed non-responsive. Applications that are submitted under the wrong funding opportunity number may be deemed non-responsive, refer to [section 3.6](#) for further guidance.

#### 4.5. Submission Dates and Times

##### **Notification of Intent to Apply (ONLY if requested on the cover and in Section IV.7. of the NOFO)**

You are eligible to apply even if no letter of intent is submitted. The letter should identify your 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 NOFO* to:

HRSA Digital Services Operation (DSO)  
Use the HRSA opportunity number as email subject (HRSA-##-####)  
[HRSA@hrsa.gov](mailto:HRSA@hrsa.gov)

##### **Application Due Date**

The due date for applications is *11:59 p.m. Eastern Time* on the date listed in Section IV.4. Submission Dates and Times in the NOFO, unless otherwise noted. Applications completed online are considered formally submitted when the application has been successfully transmitted electronically to the correct funding opportunity number, by the organization's AOR through Grants.gov and validated by Grants.gov under the correct funding opportunity number on or before the deadline date and time.

#### 4.6. Correcting Mistakes

If, for any reason, an application is submitted more than once prior to the application due date, HRSA will only accept your **last** validated electronic submission, under the correct funding opportunity number, prior to the Grants.gov application due date as the final and only acceptable application. Applications that or are submitted under the wrong funding opportunity number may will be deemed non-responsive, refer to [section 3.6](#) for further guidance. If you need to correct a Grants.gov application mistake, **in Box 1 of the SF-424, check “Changed/Corrected Application,”** and submit the corrected version before the application deadline.

**It is incumbent on you 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, you are urged to submit your application **at least 3 days before** 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 TA webpage to assist you in preparing your application. Resources include help with system registration, finding and applying for funding opportunities, writing strong applications, understanding the review process, and many other topics which you will find relevant. The website can be accessed 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 can be accessed at <http://www.hhs.gov/grants/grants/get-ready-for-grants-management/tips-for-preparing-grant-proposals>.

#### 4.8. Withdrawing an Application

You may withdraw your application from consideration at any time before an award is issued. Send notification of this withdrawal via email to [DGPWaivers@hrsa.gov](mailto:DGPWaivers@hrsa.gov), with a copy sent to the PC and GMS listed in the NOFO.

## **5. PROCESS OVERVIEW**

### **5.1. Competing Applications through Grants.gov Using Workspace**

The process for submitting a competing application through Grants.gov using workspace is as follows:

- 1) HRSA posts all competing NOFOs on [Grants.gov](https://www.grants.gov).
- 2) In order to apply for a HRSA grant, you must complete the Grants.gov registration process. See Section 3 for more details.
- 3) Once the NOFO is available, you should search for the funding opportunity in Grants.gov by clicking the [SEARCH GRANTS tab](#), entering the funding opportunity number (HRSA-##-####) and then selecting the funding opportunity or clicking the APPLICANTS tab and then clicking on [Apply for Grants](#).
- 4) Create a workspace package. The NOFO, accessible via the instructions link, contains critical application instructions. Make note of the funding opportunity number.
- 5) Add workspace participants, complete the workspace package, check for errors and notify the AOR the application is ready for submission.
- 6) Submit the application package through Grants.gov.
- 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. Be sure the application has been validated under the correct funding opportunity number.
- 8) Once your application has been validated by Grants.gov, you may track the status of the application within HRSA by using the “Track Your Application” widget, now available on [HRSA’s website](#). The application tracker will let you know where your application is at every stage in the process.

### **5.2. Application Processing**

HRSA staff review each application for eligibility, responsiveness, completeness, and conformity with the requirements outlined in the relevant NOFO, including programmatic, budgetary, and grants management compliance. Applications that pass the initial HRSA completeness and 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 NOFO.

All incomplete, ineligible, or otherwise non-compliant applications, and applications determined to be non-responsive to NOFO requirements will not be considered for funding. [You may withdraw your application from consideration at any time before an award is issued.](#)

For those applications that did not pass the initial screening, HRSA will advise applicants by email through the EHBs (sent to the individual signing the application on behalf of the organization) that the application will not be held for further consideration or be funded. The decision not to make an award or to make an award a particular funding level, is discretionary and is not subject to appeal to any HRSA or HHS official or board.

### **5.3. Objective Review Information**

The Division of Independent Review is responsible for managing objective reviews within HRSA. The independent review process provides an objective evaluation to the individuals responsible for making award decisions. Objective review is essential to ensuring selection of applications that best meet the needs of the program consistent with published evaluation criteria and providing assurance to the public that the evaluation process is impartial and fair. 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 NOFO.

Applications that pass the initial HRSA completeness and eligibility screening will be reviewed and rated by a panel based on the program elements and review criteria presented in the NOFO. 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 you in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist you in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review criteria found in the NOFOs 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 NOFO, which will specify if you 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 or HRSA staff determine if you've met the funding factor. The funding opportunity 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 published in the NOFO.

You 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 NOA is the legal document issued to the recipient that indicates an award has been made and funds may be requested from HRSA. Until an awarding office has issued an NOA for the initial budget period, any costs you incur for the project are incurred at your own risk. HRSA may reimburse pre-award costs only to the extent that they would otherwise be allowable. 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 recipient's AOR, and reflects the only authorizing document. Any other correspondence announcing that an application has been selected for award is not an authorization to begin performance. Generally, HRSA will issue the NOA prior to the start date of the award as listed in Section V.4 of the NOFO.

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 award document before funding can proceed. Letters of notification do not provide authorization to begin performance.

Unsuccessful applicants will receive notification from HRSA's Division of Grants Management Operations.

## **6. REPORTING REQUIREMENTS**

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

### **a. Audit Requirements**

Comply with audit requirements of [45 CFR 75, Subpart F](#)

### **b. Payment Management Requirements**

If applicable, the awardee must submit a quarterly electronic Federal Financial Report Cash Transaction Report (FCTR) via the Payment Management System (PMS). The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. The FCTR 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 [HHS's Program Support Center Payment Management System](#) for additional information.

### **c. Status Reports**

- 1) **Federal Financial Report.** The Federal Financial Report (SF-425) is required according to the following schedule: [HRSA's FFR Submission Schedule](#). 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 NOFO) or condition of the award. For multi-year awards, submission and HRSA approval of awardee progress report(s) triggers the budget period renewal and release of subsequent year funds. This report has two parts. The first part demonstrates awardee progress on program-specific goals. The second part collects core 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 awardee achieved the mission, goal and strategies outlined in the program; awardee objectives and accomplishments; barriers encountered; and responses to summary questions regarding the awardee's overall experiences during the entire project period. The final report must be submitted online by awardees in the HRSA EHBs system at <https://grants.hrsa.gov/grantee>.

- 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 NOFO.**

**d. Transparency Act Reporting Requirements**

New awards (“Type 1”<sup>3</sup>) 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., competing continuation (“Type 2”), non-competing continuation (“Type 5”), 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 [Requirements for Federal Funding Accountability and Transparency Act Implementation](#)).

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<sup>3</sup> Part of a coding system HRSA uses to make distinctions between awards. The award type is the first digit of the “Award No.” as indicated in Box 4a of the Notice of Award (NoA).

## **7. AGENCY CONTACTS**

### **7.1. Working with HRSA Program and Grants Management Staff**

For assistance with overall program-related questions, contact the PC listed in Section VII. Agency Contacts of the NOFO. For additional information regarding business, administrative, or fiscal issues, contact the GMS listed in Section VII. Agency Contacts of the NOFO. The PC and the GMS work as a team in many award-related activities.

Contact [Grants.gov Support](#) for technical questions related to Grants.gov.

### **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, dial 606-545-5035) or via email at [Support@Grants.gov](mailto:Support@Grants.gov). Call Center hours of operation are 24 hours a day, 7 days a week, excluding federal holidays. 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 website, visit [Grants.gov Support](#). You can also visit the [Grants.gov Self-Service Knowledge Base](#) for answers to commonly asked questions.

## **8. FAQs AND OTHER INFORMATION**

### **8.1. Software FAQs**

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

You will need to download Adobe Reader. For information on Adobe Reader, go to [Adobe Software Compatibility](#).

#### **8.1.2. How do I download a legacy application package (that will be phased out in December 2017)?**

Visit [GRANTS.GOV Online User Guide](#) for details.

#### **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. You can find these applications at [Adobe Software Compatibility](#). 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.

### **8.2. Application Receipt FAQs**

#### **8.2.1. When do I need to submit my application?**

Generally, applications must be submitted to Grants.gov by 11:59 p.m. Eastern Time on the due date, however the time may vary. You should refer to the NOFO for exact submission dates and times. An application for HRSA funding must be both received **and** validated by Grants.gov under the correct funding opportunity number 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 under the correct funding opportunity number by Grants.gov by the application deadline. 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 any time after submission by logging into Grants.gov and clicking on the [Track My Application link](#). This link will also be included in the confirmation email that you receive from Grants.gov.

When you submit your 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 HRSA or has been rejected due to errors (“Rejected with Errors”). An application for HRSA funding must be both received **and** validated under the correct funding opportunity number by Grants.gov by the application deadline.

Subsequently, HRSA will download the application 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 opportunity number, along with the correct grant number (if applicable) and awardee/applicant organization. This may take up to 3 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 5 calendar days from the closing date, via email at [DGPWaivers@hrsa.gov](mailto:DGPWaivers@hrsa.gov) and provide a detailed explanation. Your email must include the HRSA funding opportunity 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 funding opportunity deadlines 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 under the correct funding opportunity number 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, visit [Grants.gov Applicant FAQs](#).

Grants.gov offers several tools and numerous user guides to assist applicants who are interested in applying for grant funds. To view the many applicant resources available through Grants.gov, visit [Training Documents and Videos for Grants.gov](#).

#### 8.5. Application Completeness Checklist

- Have I read the NOFO and this *SF-424 Application Guide* thoroughly?
- Is my organization eligible to apply for the funding opportunity?
- Am I applying to the correct funding opportunity number?
- Is my proposed project responsive to the stated goals and objectives of the program as specified in the NOFO?
- Have I ensured my application does not exceed the ceiling amount specified in Section III of the NOFO?
- Have I completed all forms and attachments as requested in Section IV of the NOFO and this *Guide*?
- Have I ensured my application does not exceed the page limit specified in the NOFO?
- Will I apply at least 3 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

Refer to Section VIII of the NOFO for additional information/resources (e.g., TA calls, related programs, useful website addresses).

### 9. TECHNICAL ASSISTANCE RESOURCES

HRSA has developed the How to Apply for a Grant TA webpage at [How to Apply For A Grant](#). This is a one-stop shop for potential applicants on how to apply for HRSA funding. You will find valuable information on how to apply for HRSA awards, including webcasts, videos, and other technical assistance guidance.