U.S. Department of Health and Human Services

Office of the National Coordinator for Health Information Technology

Notice of Funding Opportunity
Assessing Use of Health IT by U.S. Physicians Providing Outpatient Care

Assistance Listings (CFDA) Number
93.851

Application Due Date: 07/22/2024

Anticipated Award Date: 08/30/2024

Program Contact	Grants Contact
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Executive Summary

Through this notice of funding opportunity (NOFO), the Office of the National Coordinator for Health Information Technology (ONC) is accepting applications for a cooperative agreement to measure the use of health information technology (IT) among office-based physicians. The purpose of this cooperative agreement is to measure U.S. office-based physicians' use of interoperable health IT, their experience using health IT, and the impact of health IT on the care they deliver. The cooperative agreement is intended to produce detailed data on interoperability and use of health IT by office-based physicians. These data will result in insights on the implementation and effects of federal health IT policies, allow for identification of disparities in the physicians adopting and using interoperable health IT in terms of the populations they serve or unintended consequences such as increased burden on clinicians resulting from the implementation of health IT, and will inform ONC's ongoing efforts to achieve better health enabled by data through coordination and regulation. The cooperative agreement recipient is encouraged to make the key findings of the cooperative agreement publicly available via their website; peer-reviewed publications in biomedical journals; presentations at conferences; webinars, or blog posts. This cooperative agreement includes an initial performance period of one year and funding for that year of up to $425,000. The cooperative agreement includes 4 additional optional performance years.

Background

According to section 4003 of the 21st Century Cures Act (Cures Act) enacted in 2016, the term 'interoperability,' with respect to health information technology, means such health information technology that— "(A) enables the secure exchange of electronic health information with, and use of electronic health information from, other health information technology without special effort on the part of the user;" "(B) allows for complete access, exchange, and use of all electronically accessible health information for authorized use under applicable State or Federal law;" and "(C) does not constitute information blocking as defined in section 3022(a)."[1]

A number of federal health IT policies have sought to advance the use of interoperable health IT among health care providers over the last decade. In 2009, the Health Information Technology for Economic and Clinical Health (HITECH) Act incentivized the adoption and use of certified health IT and electronic exchange of health information.[2] The 21st Century Cures Act expanded interoperability by supporting patients' access and use of their electronic health information through standards-based application programming interfaces (APIs); authorizing creation of an approach to enable nationwide exchange of patient health information; and addressing barriers to interoperability including information blocking. Several implementing regulations were finalized between 2020 and 2024 including ONC's Cures Act Final Rule,[3] ONC's Health Data, Technology, and Interoperability: Certification Program Updates, Algorithm Transparency, and Information Sharing (HTI-1) Final Rule,[4] the Centers for Medicare & Medicaid Services (CMS) Interoperability and Patient Access Final Rule,[5] and CMS's Interoperability and Prior Authorization Final Rule.[6]

These policies are needed to promote interoperability, particularly among physicians providing care to outpatients. In a survey of primary care physicians in 2018, the most commonly cited improvement to health IT that primary care physicians desired was improvements to interoperability.[7] In a 2022 survey of family physicians by the American Board of Family Medicine (ABFM), physicians reported low satisfaction with their electronic health records (EHRs) and substantial variation across EHR developers.[8] EHRs generally are often cited as contributing to physician burnout, and analysis of data from the ABFM indicate that fewer than 20% of family medicine physicians rate the usability of their EHRs as excellent.

Policies to improve interoperability specifically have been recently cited as a means to reduce provider burden associated with EHR use and could impact usability.[9] Yet, the current state of interoperability as experienced by physicians suggests uneven progress towards wide use of technology that makes it easy to provide patient care that is fully informed by information from diverse outside sources, and that continued progress warrants continued monitoring. ABFM data from 2022 indicated that most family physicians were only somewhat satisfied with their ability to access information from other organizations as enabled by interoperable health IT and less than one quarter of physicians indicated it was very easy to use information from outside organizations to treat their patients (forthcoming). Prominent barriers to the use of that information included missing necessary information and conversely that physicians received too much low value information.

[1] https://www.govinfo.gov/content/pkg/PLAW-114publ255/pdf/PLAW-114publ255.pdf
[2] https://www.govinfo.gov/content/pkg/PLAW-111publ5/pdf/PLAW-111publ5.pdf
[3] 85 FR 25642 https://www.federalregister.gov/d/2020-07419
[4] 89 FR 1192 https://www.federalregister.gov/d/2023-28857
[5] 85 FR 25510 https://www.federalregister.gov/d/2020-05050
[6] https://www.federalregister.gov/d/2024-00895
[7] Stanford Medicine and the Harris Poll. How Doctors Feel About Electronic Health Records May 31, 2018. https://med.stanford.edu/content/dam/sm/ehr/documents/EHR-Poll-Presentation.pdf
[8] Hendrix, Nathaniel, et al. "Variation in Family Physicians' Experiences Across Different Electronic Health Record Platforms: a Descriptive Study." Journal of General Internal Medicine (2023): 1-8.
[9] American Medical Informatics Association. 25x5 Policy Reforms to Reduce Documentation Burden. https://brand.amia.org/m/3383c51896daa888/original/2023-25x5-Policy-Reforms.pdf October 20, 2023.

A. Program Description

The purpose of this cooperative agreement is to support conducting national surveys to assess the extent to which physicians use interoperable health IT and their experience using that technology to support the effective care of their patients. This information will provide important insight into whether Federal policy is having the intended effect of leading to better health enabled by data and to highlight remaining challenges, inadequacies, and pain points to using interoperable health IT to easily use information from diverse sources to provide effective patient care. This information is intended to inform ongoing policy and coordination work by ONC to address remaining barriers to the widespread use of interoperable health IT.

This award will also support the identification of strategies to further measure the use of health IT to expand ONC's approach to evaluating the impact of policy.

Approach

Applicants are required to submit a Project Narrative, as discussed in section D. The Project Narrative should outline the technical approach, which may include, but is not limited to, the following components:

- Sampling strategy
- Data collection strategy, including approach to outreach and response accrual
- Developing content for measurement drawing from prior surveys supported by ONC:
- Approach to ensuring data quality
- Data analysis, interpretation and publication including an approach to coordinating with ONC on production of data products and publications and an approach to presenting findings to ONC staff, leadership and Federal partners.
- Timeline, including data availability, frequency of fielding and planned data delivery schedule
- Approach to making research data available to other entities for research purposes.
- Create a strategy for future measurement of the use of health IT, potentially including the use of data derived from electronic health records or strategies to survey additional groups.

Under this cooperative agreement, the recipient will have primary responsibility for determining a sampling approach, response accrual, and ensuring data quality. ONC and the recipient will collaborate in development of survey content, data analysis, interpretation and publication.

Performance Goals

A performance goal is a target level of performance expressed as a tangible, measurable objective or milestone, against which actual achievement can be compared. The performance goals associated with this notice of funding opportunity (NOFO), and ensuing award, are as follows:

1. Develop survey questions that align with physicians' understanding and use of health IT to support key measures on interoperability and health IT use by U.S. physicians providing outpatient care.

2. Ensure that survey questions are developed so that they will result in high quality and valid data that reflects physicians' perspectives.

3. Collect survey responses from U.S. physicians providing outpatient care to produce national level estimates on key health IT measures with a response rate over 50%.

4. Collaborate and coordinate with ONC on the analysis and interpretation of results, and publication of written products that assess physicians' use of interoperable health IT and their experience using that technology to support the effective care of their patients (e.g., assess interoperability and health IT use by U.S. providing outpatient care).

5. Develop a strategy for continued valid and representative measurement of the use of health IT.

B. Funding Opportunity Award Information

Key Award Parameters

Funding Opportunity Title: Assessing Use of Health IT by U.S. Physicians Providing Outpatient Care

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

Award Type: *Cooperative Agreement*

Application Type: *New*

Funding Opportunity Number: NAP-AX-24-001

Catalog of Federal Domestic Assistance (CFDA) Number*:* *93.851*

Legislative Authority: H.R. 2882 Further Consolidated Appropriations Act, 2024*Public Law 118-47*

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

Anticipated Number of Awards: 1

Approximate Amount of Each Award: *$425,000*

Project Period: *08/30/2024 through 08/29/2029*

Budget Period(s): *08/30/2024 through 08/29/2025*

Elligible Applicants: Eligible applicants include domestic public or private, non-profit or for-profit entities.

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

Key Dates

Milestone	Date
NOFO Released	*06/14/2024*
Informational Session	*06/20/2024*
Letter of Intent to Apply Due	*06/28/2024*
Applications Due	*07/22/2024*
Anticipated Award Date	*08/30/2024*
Anticipated Project Start Date	*08/30/2024*

Substantial Involvement of ONC

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

ONC involvement will include:

- Guidance on sampling approach and data collection strategy
- Collaboration to develop content for measurement
- Guidance on timeline, and data quality assurance approach
- Collaboration on data analysis, interpretation and publication
- Participation in the selection of key personnel, such as consultants
- Review and approval of substantive provisions of proposed sub awards or contracts
- Review and approval of deliverables
- Guidance and feedback during project execution
- Collaboration in developing an ongoing measurement strategy

Informational Session

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

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

Further details about the informational session – including the date, time, and instructions for joining – are available at *https://us06web.zoom.us/meeting/register/tZ0ocuGvrjsjGdAfnNIZvAKg7G_vK3YTcLO8*.

To ensure that ONC addresses all comments and questions regarding this announcement during the information session, please submit any comments and questions, via email, to *PhysicianHITSurvey@hhs.gov.*

Letter of Intent

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

The Letter of Intent is requested by 11:59 P.M. Eastern Standard Time on June 28, 2024 and should be sent to *PhysicianHITSurvey@hhs.gov.* The notice should identify the name of the applicant organization, the city and state in which the applicant organization is located, and the Notice of Funding Opportunity title and number.

C. Eligibility Information

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

D. Application and Submission Information

Address to Request Application Package

You may obtain an application package electronically by accessing Grants.gov at http://www.grants.gov/. You can find it by searching on the CFDA number shown on the cover page of this funding opportunity. If you have problems accessing the application or difficulty downloading, contact:

Procurement and Grants Division
Email: oncgrants@hhs.gov

Content and Form of Application Submission

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

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

Appendix A, Tips for Writing a Strong Application, can be used as a resource.

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

Project Abstract

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

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

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

Project Narrative

The project narrative provides the most substantive information regarding the proposed project in a clear and concise manner. The project narrative should also align with the Performance Goals (see section A.) and merit review evaluation criteria (see section E.) presented in this NOFO.

The Project Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point. The maximum length allowed for the Project Narrative is 20 pages. A Project Narrative that exceeds the 20 page limit will not be accepted. Resumes of key personnel, if requested, are not counted as part of the Project Narrative and are not included in the 20 page limit.

Your project narrative should include the following components. These components will be counted as part of the page limit. The suggested lengths of the sections, given below, are guidelines to help applicants create a balanced document, and not mandatory restrictions:

Discussion and Understanding of the Project (1-2 pages)
This section should describe the applicant's understanding of the project and the broader context related to the goals of the cooperative agreement. This would include a brief discussion about the current state of health IT including describing the current health IT policy and regulatory landscape related to the goals of the cooperative agreement.

Personnel Qualification and Past Performance (2-5 pages)
This section should describe the applicant's personnel qualification and past performance demonstrating experience consistent with successfully meeting the goals of the cooperative agreement.

Management Plan and Budget (1-2 pages)
This section should discuss the overall project management approach and the types and level of staffing, resources and infrastructure in place to support measurement. This should include an approach to maintaining a project plan and ensuring program goals and milestones are met. This should include identifying the roles of key staff, identifying the role of subcontractors and/or any other external consultants or subject matter experts, and the approach to collaboration and communication strategy with ONC, including provision of progress reports. The applicant must provide the names of staff that will be overseeing the analysis of the data and preparation of the ongoing reports. This section should also include the proposed budget.

Technical approach (5-10 pages)
This section should describe the applicant's methodological approach to meet the goals of the cooperative agreement. The following aspects should be addressed in this section:

Sampling Strategy
This section should describe the applicant's approach to obtain data on a national sample of U.S. physicians (i.e., not centered on specific states or regions) that provide outpatient care. This section should include discussion on how the applicant will collect data that represent diverse range of practice settings (e.g. rural vs. urban, specialty type, practice group size, etc). This section should describe how the applicant will target physicians providing direct patient care as opposed to those in specialties that do not provide such care and physicians solely engaged in other work (e.g., management or research).

Data Collection Strategy
This section should describe your organization's approach for data collection. This discussion should include a description of the method (qualitative, quantitative survey) and modality (e.g. telephone, mail, or online) and its strengths and limitations. The discussion should also include the applicant's approach for identifying and targeting physicians, as opposed to front desk or office staff. This discussion should include any anticipated challenges in reaching the target population, and strategies that may be used to address these challenges. A description of your organization's outreach efforts should be included.

Achieving a high response rate is a widely acknowledged best practice that can reduce risks of non-response bias, and on average surveys of health professionals have accrued a response rate of 50%.[10-11] This section should describe your organization's strategy for achieving a high response rate equivalent to or greater than that average such as your approach for following-up with non-respondents to the data collection approach.

Developing Content for Measurement
This section should describe how your organization plans to develop and finalize measures to be included in the data collection to meet the goals of the cooperative agreement. The applicant should list the prioritized set of topics and measures. Examples of topics for consideration include:

- Use of certified health IT;
- Health information exchange activity and interoperability of health IT systems (e.g., ability to in query (or find), send, receive, incorporate and use electronic health information from sources outside their healthcare organization as described in ONC publications);
- Experience with, satisfaction with, benefits from, and barriers to interoperability
- Health IT usability and provider burden associated with health IT;
- Responsible use of Artificial Intelligence in health IT;
- Use of health IT functionalities for patient engagement;
- Telehealth; and
- Use of health IT to support public health activities

Data Quality and Delivery
The applicant should describe how they plan to ensure the selected measures will be well understood and result in valid responses, such as through the use of recognized best practices in survey research[1].. This section should include a description of the processes for properly coding and cleaning the final dataset and processes in place to assure the quality and completeness of the data, including the types of quality checks performed. This section should describe how the applicant will provide the final data set and related documentation, including formats and level of information.

[1] https://aapor.org/standards-and-ethics/best-practices/#1668112232393-81909bee-60db

Data Analysis, Interpretation and Publication

The applicant should describe their approach to analyzing and interpreting the data and disseminating the results. This section should describe the use of any subject matter experts, consultants or expert panels in informing interpretation of results. This section should also include a description of the data analysis plan and strategy for disseminating data findings. This section should describe an approach to coordinate and collaborate with ONC on data analysis, production of data products, and publications to highlight the recipient's key findings. Collaboration and, at minimum, coordination are encouraged to avoid duplicative efforts by the recipient and ONC. This section should also describe an approach to interpreting and presenting findings to ONC staff, leadership and Federal partners, which may include the use of an expert panel to interpret the data.

[10] Meyer, Vincent Maurice, et al. "Global overview of response rates in patient and health care professional surveys in surgery: a systematic review." *Annals of surgery* 275.1 (2022): e75-e81.
[11] Cho, Young Ik, Timothy P. Johnson, and Jonathan B. VanGeest. "Enhancing surveys of health care professionals: a meta-analysis of techniques to improve response." Evaluation & the health professions 36.3 (2013): 382-407.

Timeline

The applicant should describe a cadence or timeline for the key project milestones, including survey content development, data collection, data quality assurance, data delivery, and analysis. The timeline should reflect the first year of the project period and should be able to be projected over the full project period.

Approach to making data available to others

The applicant should describe how they plan to make a de-identified or limited data set available for use by the public, including any governance and review processes to provide access to that data as the applicant believes appropriate.

Strategy to address gaps in measurement

The applicant should develop a plan to identify and describe gaps in the survey based on the sampling strategy, data collection strategy or analysis of the first year of data collection. For example, the applicant should propose a strategy to assess if a sampling strategy focuses on specific specialties, or if data collection over (or under) represents physicians from some practice settings. The application should describe strategies to address these gaps such as the use of alternative data sources, partnerships with other organizations or alternative outreach approaches. This plan may also include the use of other data sources, such as metadata derived from health IT, to assess physicians' use of health IT.

Form SF-424, Application for Federal Assistance

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

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

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

Budget Narrative

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

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

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

Form SF-424B, Assurances for Non-Construction Programs

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

Form SF-LLL, Disclosure of Lobbying Activities

This form contains the name and address of lobbying registrants. Please note that a duly authorized representative of the applicant organization must sign the disclosure form. Failure to complete and sign the form may result in civil penalties ranging from $10,000 to $100,000. If your organization does not engage in lobbying, please insert "non-applicable" on the document and include the authorized representative name, contact information, and signature.

Letters of Commitment (If Applicable)

Include letters of commitment confirming the support to the project (should it be funded) made by key collaborating organizations and agencies. Any organization that is specifically named to have a significant coordination role in carrying out the project should be considered an essential collaborator such as interstate, intrastate, and regional partners. At a minimum, the letter must explain the demonstrated commitment to the project and how they will advance coordination and collaboration among critical stakeholders. See Appendix E for an example letter of commitment.

Applicants will also provide a letter of commitment from entities that will be responsible for generating reports based on transactional data (e.g. health information service providers, technology vendors, or others). These entities should have the capacity and resources to produce required reports on adoption and use in a timely manner. See Appendix E for an example letter of commitment.

These letters are not considered as part of the total page limit. Signed letters of commitment should be scanned and included as attachments.

Proof of Non-Profit Status

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

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

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

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

Indirect Cost Agreement(s)

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

Application Submission Instructions

1) You must access the electronic application for this program via http://www.grants.gov. You can search the downloadable application page by the Notice of Funding Opportunity Number *NAP-AX-24-001* or CFDA number *93.851*.

2) Applicants will be able to download a copy of the application packet and complete it off-line. In order to complete the application, In order to complete the application, an organization shall have a Unique Entity Identifier (UEI). A UEI can be obtained via registering at http://SAM.gov and typically takes 7 to 10 business days. Please plan accordingly.

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

   In order to upload applications into Grants.gov:

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

   b) Please note that entities registering in SAM shall submit a notarized letter appointing their authorized Entity Administrator. This will not impact the registration approval process, but is required as part of your registration. For additional information, read SAM's updated FAQs to learn more about changes to the notarized letter review process and other system improvements. The following website depicts the SAM registration process: http://www.grants.gov/web/grants/applicants/organization-registration.html

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

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

4) After electronically submitting your application, Grants.gov will generate an email a tracking number and date of receipt verification confirming that the application was received, the date and time the application was received, and a tracking number. This notification does not ensure that your application could be opened and read -- only that the application was received.

The deadline for the submission of applications under this Funding Opportunity is 12:00PM Eastern Standard Time on July 22, 2024. Applications that fail to meet the application deadline will not be reviewed and will receive no further consideration.
ONC determines whether an application has met the deadline based on the time of submission indicated in grants.gov.

Unique Entity Identifier and System for Award Management (SAM)

In order to upload applications into Grants.gov:

a) An applicant must be registered in the System for Award Management (SAM), at sam.gov, which requires having a DUNS number. The SAM registration process takes 7 to 10 business days so please plan accordingly. If you have already registered with SAM, but have not renewed your registration in the last 12 months, you will need to renew your registration.
b) Please note that entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. This will not impact the registration approval process, but is required as part of your registration. For additional information, read SAM's updated FAQs to learn more about changes to the notarized letter review process and other system improvements.
c) An applicant must provide a unique valid entity identifier on the application. ONC may not make a federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time ONC is ready to make an award, ONC may determine that the applicant is not qualified to receive a federal award and make an award to another complying applicant.

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

Funding Restrictions

Program Income

There are four potential ways in which ONC may require that a recipient apply program income as specified in the NGA: 1) **deduct** it from total allowable program costs to determine the net allowable costs on which the Federal share of costs is based; 2) **add** it to funds otherwise available for the program, generally resulting in an increase to the total approved budget; 3) use it to meet a **matching or cost sharing** requirement; or 4) a **combination** of these alternatives.

Costs paid by program income generally are subject to the applicable cost principles and other Federal requirements and must be disbursed for program purposes **before** requesting additional payments of Federal funds. In the event program income remains at the end of the award, the additional income is considered part of the award funding and must be returned to ONC. **If program income is generated, the recipient must use the additive method.**

Intergovernmental Review

Applications for this funding opportunity are not subject to review by states under Executive Order 12372, "Intergovernmental Review of Federal Programs" (45 CFR 100). Please check box "C" on item 19 of the SF 424 (Application for Federal Assistance) as Review by State Executive Order 12372, does not apply to this funding opportunity.

Restrictions on Oral Conversations

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

This restriction applies unless:

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

E. Application Review Information

Merit Review

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

Criteria

Reviewers will review, evaluate, and score applications, in accordance with the criteria identified below:

1.Discussion and Understanding of the Project – 10 points maximum
The applicant demonstrates knowledge and understanding of key issues related to adoption and use of interoperable health IT by physicians and survey methodology to address those issues. The application addresses the purpose and objectives of this NOFO.

2.Personnel Qualification and Past Performance – 40 points maximum
The applicant must describe and provide evidence of its experience for the items listed below. All evidence must be submitted as an appendix to the applicant's proposal.

2.1: Prior data collection efforts on physician experience using health IT at the national level among U.S. physicians, and the quality of that data collection effort, including whether it generated a high response rate.
2.2: Evidence of past work producing reports and publications on health IT from these past data collection efforts.
2.3 Data collection and survey development infrastructure and resources to conduct a national level survey of U.S. physicians providing outpatient care.
2.4 Relationships with physicians or physician organizations to facilitate survey develop and recruitment of respondents.
2.5 Applicant has physicians on staff with subject matter expertise in health IT and interoperability that can support measurement development needed for this cooperative agreement.

3.Management Plan – 10 points maximum
The applicant describes a clear and workable plan to meet program goals and ensure program milestones are met. The applicant provides the names of staff that will be involved in the management and technical approach of this project, including the sampling approach, developing the content of the survey, overseeing the analysis of the data and preparation of the ongoing reports. The applicant describes a workable plan and timeline for managing and evaluating development of survey content. The applicant describes an effective plan for managing survey data collection and delivery of data to ONC. The applicant provides a proposed timeline for fielding the survey. The applicant describes their approach to collaborate with ONC on development of written products, including proposed roles and responsibilities of personnel.

4.Budget—15 points maximum
The applicant budget is sufficiently detailed to explain how they will use the award funds to conduct the survey. The applicant's proposed allocation of the budget is in line with the goals of the cooperative agreement.
5.Technical Approach – 25 points maximum
The applicant's approach is succinct and logical in format and demonstrates methods consistent with the goals to be accomplished. The applicant proposes a clear and detailed approach for developing and finalizing survey content so that the survey will result in high quality and valid data that reflects physicians' perspectives. The applicant proposes a detailed and robust approach to collecting information care to produce national level estimates on key health IT measures with a response rate over 50%. The applicant describes an analysis and dissemination plan likely to result in wide use of the results by policymakers and researchers. The applicant clearly identifies an approach for verifying the validity and accuracy of the data through cognitive interview, audit or other means. The applicant describe an approach to developing a strategy for valid and representative measurement of the use of health IT that describes how such an approach would complement the survey that the applicant plans.

MAXIMUM TECHNICAL SCORE = 100 POINTS

Review and Selection Process

Applicants must meet the following screening criteria. Any applications that do not meet these criteria will be eliminated and will not be sent forward for merit review:

- The applicant meets the eligibility criteria
- The application is received by the required deadline through http://www.grants.gov
- The application contains all required components (e.g. Project Abstract, Project Narrative, SF-424 etc.)
- The application meets the formatting and length requirements. The Project Narrative must not exceed *20* pages. The Project Abstract and resumes do not count as part of the Project Narrative length limitation.
- Appendices and attachments are not used as a mechanism to exceed page limits of the Project Narrative
- It is the Grants Management Officer's (GMO) discretion to continue the review process for an ineligible application if it is in the best interests of the government to meet the objectives of the program.

Pre-Award Risk Assessment

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

For any Federal award under a notice of funding opportunity, if the HHS awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see §75.2 Simplified

Acquisition Threshold), this section must also inform applicants: i. That the HHS awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313); ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that the HHS awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM; iii. That the HHS awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §75.205.

F. Federal Award Administration Information

Award Decisions

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

Federal Award Notices

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

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

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

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

Terms and Conditions

Administrative and National Policy Requirements
Awards issued under this announcement are subject to 45 CFR Part 75 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards currently in effect or implemented during the period of award, other Department regulations andpolicies in effect at the time of award, and applicable statutory provisions. The Code of Federal Regulations (CFR) is available at www.ecfr.gov.

An application funded with the release of federal funds through a grant award does not constitute, or imply compliance with federal regulations. Funded organizations are responsiblefor ensuring that their activities comply with all applicable federal regulations.

Non-Discrimination Legal Requirements for Recipients of Federal Financial Assistance

Per Executive Order (E.O.) 13985 entitled Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (Jan. 20, 2021), should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS shall administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex (including gender identity, sexual orientation, and pregnancy). This includes ensuring programs are accessible to persons with limited English proficiency and persons with disabilities. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html and https://www.hhs.gov/civil-rights/for-individuals/nondiscrimination/index.html.

- Recipients of FFA shall ensure that their programs are accessible to persons with limited English proficiency. For guidance on meeting your legal obligation to take reasonable steps to ensure meaningful access to your programs or activities by limited English proficient individuals. See https://www.hhs.gov/civil-rights/forindividuals/special -topics/limited-english-proficiency/fact-sheet-guidance/index.html and https://www.lep.gov.

- For information on your specific legal obligations for serving qualified individuals with disabilities, including reasonable modifications and making services accessible to them, see http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html.

- HHS funded health and education programs shall be administered in an environment free of sexual harassment, see https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html.

- For guidance on administering your program in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see https://www.hhs.gov/conscience/conscience-protections/index.html and https://www.hhs.gov/conscience/religious-freedom/index.html.

Performance Reporting

ONC Program Progress Reports (PPR) are due semi-annually. Each PPR must address, to the extent applicable:

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

ONC will provide specific guidance regarding the content, format, and deadlines for submitting the PPRs before each report is due.

Each report will be due throughout the fiscal year as follows:

Reporting Period	Reporting Due Date
October 1 through March 31	No later than April 30
April 1 through September 30	No later than October 31

Financial Reporting

Expenditures must be reported, on a semi-annual basis, using the SF-425, Federal Financial Report (FFR). Reports are due to HHS no later than April 30 of each year the award is active for funds expended between October and March, and no later than October 31 for funds expended between April and September. The semi-annual FFR will be submitted using the Payment Management System (PMS). ONC will not accept reports sent elsewhere, including directly to the ONC Grants mailbox.

Federal Funding and Accountability and Transparency Act of 2006

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), as amended by Section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170, includes a requirement for recipients of Federal awards to report information about first-tier sub-awards of $25,000 or more in federal funds and executive compensation for the recipient's and subrecipient's five most highly compensated executives under Federal assistance awards issued in FY2011 or later. All recipients of ONC grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at www.fsrs.gov.

Federal Recipient Performance and Integrity Information System (FAPIIS)

As of January 1, 2016, recipients of Federal grants and cooperative agreements are subject to mandatory disclosure requirements. Recipients that have Federal contracts, grants, and cooperative agreement awards from all Federal awarding agencies with a cumulative total value greater than $10,000,000 must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently FAPIIS), any information about criminal, civil, and administrative proceedings that reached its final disposition during the most recent five-year period in connection with the award or performance of a grant, cooperative, agreement, or procurement contract from the Federal Government. Reporting must specifically include the following:

Proceedings About Which You Must Report
Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

b. Reached its final disposition during the most recent five year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

Reporting Procedures
Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

Reporting Frequency
During any period of time when you are subject to this requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and

cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes -

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised

This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

Funding Restrictions

Funds cannot be used for the following purposes:

- To supplant or replace current public or private funding
- To supplant ongoing or usual activities of any organization involved in the project
- To purchase or improve land, or to purchase, construct, or make permanent improvements to any building
- To reimburse pre-award costs

Conflict of Interest

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

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

In accordance with 45 CFR 75.112 of Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, all applicants and non-federal entities must disclose, in writing, any potential conflict of interest (COI) that they have with the awarding agency or any pass-through entities. The applicant shall notify the ONC grants management officer (GMO) when they believe an actual or potential COI may exist.

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

In the event the recipient was aware of an organizational COI, prior to award of the assistance agreement, and did not disclose the conflict to the GMO, or becomes aware of an organizational COI after award of this assistance agreement and does not disclose the COI within ten (10) days of becoming aware of such conflict, the Government may terminate the assistance agreement and the recipient shall not be entitled to reimbursement of any costs incurred in performing the assistance agreement.

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

Non-Disclosure Requirements

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

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

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

Mandatory Disclosures

In accordance with 45 CFR 75.113, Mandatory Disclosures, of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, the non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. In addition, non-federal entities are required to report certain civil criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 including suspension or debarment.

Health IT Coordination Requirements

Title XIII of the HITECH Act provides for the advancement of health information technology and health information exchange through the use of standards and implementation specifications, and through health information technology certification criteria established by the Secretary. For grants or cooperative agreements where funding will be used to implement, acquire, upgrade, or utilize health information technology for activities involving health care providers in ambulatory or hospital settings (as such health care providers are defined as eligible under Sections 4101, 4102 and 4201 of the HITECH Act), the recipient must implement, acquire, upgrade, or utilize health information technology certified under the ONC Health IT Certification Program if certified technology can support the activity and such technology has been certified to the standards and implementation specifications adopted under section 3004 of the Public Health Service Act. For all grants or cooperative agreement activities involving the adoption or use of health information technology standards and systems, or the interoperability (as defined 45 C.F.R. 170.102) of health information technology, the recipient must implement, acquire, upgrade, or utilize health information technology that meets standards and implementation specifications adopted under section 3004 of the Public Health Service Act (PHSA) (identified in 45 CFR Part 170, Subpart B "Standards and Implementation Specifications for Health Information Technology" (170.200-170.299)) if standards and implementation specifications in 45 CFR Part 170, Subpart B can support the activity. If standards and implementation specifications adopted under Section 3004 of the Public Health Service Act cannot support the activity, the recipient should implement, acquire, update, or utilize technology that meets non-proprietary standards and implementation specifications that are developed by consensus-based standards development organizations. This may include standards identified in the ONC Interoperability Standards Advisory (Link: https://www.healthit.gov/isa/).

Intangible Property and Copyrights

Intangible property, as defined in 45 CFR 75.2 means property having no physical existence, such as trademarks, copyrights, patents and patent applications and property, such as loans, notes and other debt instruments, lease agreements, stock, and other instruments of property, ownership (whether the property is tangible or intangible).

(a) Title to intangible property (see 45 CFR §75.2 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the HHS awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in 45 CFR §75.320(e).

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. **The HHS awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so. (Please note, for the purpose of this funding opportunity "work" can be considered as: writings, films, sound recordings, pictorial reproductions, drawings, designs, or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other technical research data.)**

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

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

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

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

(2) Published research findings means when:

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

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

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

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

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

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

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

Records Retention

Recipients generally must retain financial records, supporting documents, statistical records, and all other non-federal entity records pertinent to a federal award for a period of three years from the date the final expenditure report is submitted or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the HHS awarding agency or pass-through entity in the case of a subrecipient.

45 CFR § 75.361 provides exceptions and qualifications to the three-year retention requirement. For example, if any litigation, claim, or audit is started before the expiration of the three-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken. These provisions also specify the retention period for other types of award-related records, including indirect cost rate proposals and real property records. See 45 CFR 75.335 for record retention and access requirements for federal awards.

Modifications

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

Audit Requirements

45 CFR 75, Subpart F, Audit Requirements sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards. In general, a non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75, Subpart F provide further guidance including the manner in which expenditures are determined, the distinction between a single audit and a program-specific audit, frequency of audits, and roles and responsibilities in the conduct of audits.

Enforcement Actions/Termination

Per 45 CFR 75.371, ONC will generally allow the recipient an opportunity to take appropriate corrective action before terminating a federal award. ONC may terminate the federal award if ONC determines that the noncompliance cannot be remedied by imposing additional conditions. ONC may also terminate the federal award, without the option for corrective action, if the deficiency is so serious as to warrant immediate termination or if public health or welfare concerns require immediate action.
ONC or the recipient may mutually terminate a federal award, partially or totally, if the two parties agree upon the termination conditions, including the effective date and the portion to be terminated. If the recipient decides to terminate a portion of a federal award, ONC may determine that the remaining portion of the Cooperative Agreement will not accomplish the purposes for which the federal award was originally awarded. The recipient must contact the ONC representative should it decide to terminate all or part of its federal award as outlined in 45 CFR 75.372.

When a federal award is terminated or partially terminated, the recipient is still responsible for closing out the award per 45 CFR 75.381. The recipient is required to contact their assigned Grants Management

Specialist to obtain closeout instructions. In the event of termination, the recipient will be required to continue supporting functions of the federal award throughout a 90 day closeout period. This support includes the transfer of all financial, performance and other reports created under the federal award to ONC immediately upon completion/termination of award.
For the purpose of this program, if the recipient is terminated, the recipient agrees to the transfer of and future use by ONC and any successor recipient of any Work Products developed under this federal award.

Stevens Amendment

Statutory Requirement: Division A, Title V, Section 505 of Public Law 116-94, the Further Consolidated Appropriations Act, 2020

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 recipients receiving Federal funds, including but not limited to State, local, tribal 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) the percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Recipients are required to use the following acknowledgement and disclaimer on all products produced by ONC grant funds:
"This project is/was supported by the Office of the National Coordinator for Health Information Technology (ONC) 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(s) and should not be construed as the official position or policy of, nor should any endorsements be inferred by ONC, 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 ONC supported publications and forums describing projects or programs funded in whole or in part with ONC funding. Examples of ONC supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies, and issues briefs.

508 Compliance

ONC requires recipients of its federal awards to ensure that any material meant for public release developed by way of ONC funding is in compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d) accessible to people with disabilities.

G. ONC Contacts

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

DUN and Bradstreet (DUNS number must be active in SAM.gov)
http://www.dnb.com/
800.234.3867

System for Award Management (SAM) Customer Support
https://www.sam.gov
Federal Service Desk -- www.fsd.gov
866-606-8220

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

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

Appendix A

Tips for Writing a Strong Application

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

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

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

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

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

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

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

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

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

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

Appendix B

Instructions - SF-424, Application for Federal Assistance

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

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

Item	Field Name	Information
		number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
6.	Date Received by State:	Leave this field blank. This date will be assigned by the state, if applicable.
7.	State Application Identifier:	Leave this field blank. This identifier will be assigned by the state, if applicable.
8.	Applicant Information:	Enter the following in accordance with agency instructions:
	a. Legal Name:	(Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.
	b. Employer/Taxpayer Identification Number (EIN/TIN):	(Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS:	(Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.
	d. Address:	Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).
	e. Organizational Unit:	Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
	f. Name and contact information of person to be contacted on matters involving this application:	Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business)

Item	Field Name	Information
		Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)
10.	Name Of Federal Agency:	(Required) Enter the name of the federal agency from which assistance is being requested with this application.
11.	Catalog Of Federal Domestic Assistance Number/Title:	Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	Funding Opportunity Number/Title:	(Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	Competition Identification Number/Title:	Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
14.	Areas Affected By Project:	This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
15.	Descriptive Title of Applicant's Project:	(Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16.	Congressional Districts Of:	15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation - 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
17.	Proposed Project Start and End Dates:	(Required) Enter the proposed start date and end date of the project.
18.	Estimated Funding:	
(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the		

<table>
<tr><th>Item</th><th>Field Name</th><th>Information</th></tr>
<tr><td colspan="3">action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

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

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

ONC's Match Requirement – (Sample Language – do not include if cost sharing is not required by statute)
Under this program, the applicant's match requirement is $1 for every $3 Federal dollars In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project's total cost. This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

Federal Funds Request/3 = Minimum Match Requirement

For example, if you request $100,000 in Federal funds, then your minimum match requirement is $100,000/3 or $33,333. In this example the project's total cost would be $133,333.
If the required non-Federal share is not met by a funded project, ONC will disallow any unmatched Federal dollars.

Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-recipients are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.</td></tr>
<tr><td>19.</td><td>Is Application Subject to Review by State Under Executive Order 12372 Process?</td><td>(Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</td></tr>
<tr><td>20.</td><td>Is the Applicant Delinquent on any Federal Debt?</td><td>(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized</td></tr>
</table>

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

Appendix C

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

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

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

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

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

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

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/recipient staff. Do not include the cost of consultants. Consultant costs should be included under 6h, Other. In the Budget Narrative/Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the Budget Narrative/Justification.

Some Points to Consider:

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

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

Some Points to Consider:

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

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

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all recipients, "equipment" is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non–Federal entity for financial statement purposes, or $5,000. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub recipients. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Some Points to Consider:

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

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

Some Points to Consider**:**

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

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

Some Points to Consider:

- ♦ Is the type of each service to be rendered described?
- ♦ For Consultants/Individuals
  - o Is an hourly, daily or weekly base rate given?
  - o Are rates allowable, justified, reasonable and comparable to market?
- ♦ Is the total amount for any contract in excess of $150,000?
  - o Is procurement method described?

o If the contract is not competitively bid, has a sole source justification been provided?

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

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

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

Some Points to Consider:

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

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

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

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

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

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

<u>Line 6k: Total:</u> Enter the total amounts of Lines 6i and 6j.

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

Section C Non-Federal Resources - Not applicable

Section D Forecasted Cash Needs - Not applicable.

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

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

Section F Other Budget Information

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

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

Separate Budget Narrative/Justification Requirement

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

In your Budget Narrative/Justification, you must include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or more. The Budget Narratives/Justifications must fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as sub-contractor or sub-recipient (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms. This must include a budget narrative for the entire period of performance.

Appendix D

Budget Narrative/Justification Template

SAMPLE BUDGET AND NARRATIVE JUSTIFICATION
FOR COMPLETING SF 424A:

A. Personnel:
An employee of the applying agency whose work is tied to the application

TABLE 1: FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Program Director	John Doe	$164,890	10%	$6,489
Project Coordinator	To be selected	$46,276	100%	$46,276
			TOTAL	$52,765

NARRATIVE JUSTIFICATION: Enter a description of the Personnel funds requested and how their use will support the purpose and goals of this proposal. Be sure to describe the role, responsibilities and unique qualifications of each position.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A): **$52,765**

B. Fringe Benefits:
Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

List all components of fringe benefits rate

TABLE 2: FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	$52,765	$4,037
Workers Compensation	2.5%	$52,765	$1,319
Insurance	10.5%	$52,765	$5,540
		TOTAL	$10,896

NARRATIVE JUSTIFICATION: Enter a description of the Fringe funds requested, how the rate was determined, and how their use will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A)**: $10,896**

C. Travel:

Explain need for all travel other than that required by this application. The lowest available commercial fares for coach or equivalent accommodations must be used. Local travel policies prevail.

TABLE 3: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
State HIE Leadership Training	Washington, DC	Airfare	$200/flight x 2 persons	$400
		Hotel	$200/night x 2 persons x 3 nights	$1200
		Per Diem (meals)	$64/day x 2 persons x 3 days	$384
State HIE Forum	Chicago, IL	Airfare	$200/flight x 2 persons	$400
		Hotel	$140/night x 2 persons x 3 nights	$840
		Per Diem (meals)	$49/day x 2 persons x 4 days	$392
Sate Travel		Airfare	$200/flight x 2 persons	$400
		Hotel	$200/night x 2 persons x 2 nights	$800
		Per Diem (meals)	$64/day x 2 persons x 3 days	$384
Local Travel		Mileage	3,000 miles@.38/mile	$1,140
			TOTAL	$6,340

NARRATIVE JUSTIFICATION: Describe the purpose of travel and how costs were determined.

The grant requires travel of two members to attend the two-day State HIE Leadership Training in Washington, DC. also required to send two members to Chicago, IL for a two-day State HIE Forum. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate is based on agency's personally owned vehicle (POV) reimbursement rate at 50 cent a mile.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A): **$6,340**

D. Equipment:
Equipment is defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non–Federal entity for financial statement purposes, or $5,000.

If applicant agency defines "equipment" at lower rate then follow the applying agency's policy.

TABLE 4: FEDERAL REQUEST

Item(s)	Rate	Cost
None		0
	TOTAL	

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

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF424A): **$ 0**

E. Supplies: Tangible personal property that is not equipment and often having one-time use

TABLE 5: FEDERAL REQUEST

Item(s)	**Rate**	**Cost**
General office supplies	$50/mo. x 12 mo.	$600
Postage	$37/mo. x 8 mo.	$296
Laptop Computer	$900	$900
Printer	$300	$300
Projector	$900	$900
Copies	8000 copies x .10/copy	$800
Computer update (if needed)		$250
	TOTAL	$4,046

NARRATIVE JUSTIFICATION: Enter a description of the Supplies requested and how their purchase will support the purpose and goals of this proposal.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF424A): **$4,046**

F. Contract:
The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the budget. If there is more than one contractor, each must be budgeted separately and must have an attached itemization.

A contract is generally the amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

TABLE 6: FEDERAL REQUEST

Name		**Cost**
1. To be selected	Environmental Strategy Consultation Rate is $150/day for 35 days = $5,250 Travel 500 miles @ .38/mile = $190	$5,440
2. To be selected	Media 1.5 minute Public Service Announcement (PSA)	$3,000
3. To be selected	Evaluation Report	$4,500
4. To be selected	Training for Staff members Trainers: rate is $300/day for 4 days = $1,200 Materials: approx. $5/person X 25 people = $125 Room Rental = $75 Travel for Trainers = Flight $300/person X 2 people = $600 Per Diem - $46/day x 4 days x 2 people = $368	$2,368
5. To be selected	Data Analysis	$1,800
6. To be selected	Responsible Server Training Trainer: rate $500/day	$500

Name		Cost
7. To be selected	Television advertising to run ads 5x/week x $50/ad X 52 wks.	$13,000
	TOTAL	$30,608

NARRATIVE JUSTIFICATION: Explain the need for each agreement and how their use will support the purpose and goals of this proposal. For those contracts already arranged, please provide the proposed categorical budgets. For those subcontracts that have not been arranged, please provide the expected Statement of Work, Period of Performance and how the proposed costs were estimated and the type of contract (bid, sole source…ect.)

FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF424A): **$30,608**

G. Construction: NOT ALLOWED
On your SF424A, leave the following section blank: Section B columns 1&2 line 6g

H. Other: Expenses not covered in any of the previous budget categories

TABLE 7: FEDERAL REQUEST

Item	Rate	Cost
1. Rent	$500/mo x 12 mo.	$6,000
2. Telephone	$100/mo. x 12 mo.	$1,200
3. Student Surveys	$1/survey x 2784	$2,784
4. Brochures	.89/brochure X 1500 brochures	$1,335
5. Web Service	$100/mo x 12 mo	$1,200
	TOTAL	$15,819

NARRATIVE JUSTIFICATION: Explain the need for each item and how their use will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit: i.e. cost/square foot and explain the use of each item requested.

FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF424A): **$15,819**

TOTAL DIRECT COSTS:
FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF424A): **$120,474**

TOTAL INDIRECT COSTS:
FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A): **$4,526**

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs
FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A):**$125,000**

TABLE 8: BUDGET SUMMARY

Category	Federal Request	Total
Personnel	$52,765	$52,765

Category	Federal Request	Total
Fringe	$10,896	$10,896
Travel	$6,340	$6,340
Equipment	0	0
Supplies	$4,046	$4,046
Contractual	$30,608	$30,608
Other	$15,819	$15,819
Total Direct Costs*	$120,474	$120,474
Indirect Costs	$4,526	$4,526
Total Project Costs	$125,000	$125,000

Appendix E

Letter of Commitment Template

Jane Jones
National Coordinator for Health Information Technology
Department of Health and Human Services
330 C. Street, 7th Floor, Office 7009A, S.W.
Washington, DC 20201

Date

Dear Ms. Jones,
(Name of organization/group submitting the letter) is very interested in addressing (insert the issue being addressed by the grant application) and (state why the issue is a concern).

(State knowledge of proposal, knowledge of agency submitting proposal, and encouragement of funding entity to provide resources to address issue identified above).

(State that the need to address the issue is significant and how other resources to address the need are insufficient to address or impact the need).

(Specifically state how your organization will support this project-through assistance with meeting matching requirements, board/commission participation, advocacy etc.).

(Describe your capacity and resources to produce required deliverables or services for the applicant)

(State how the organization will coordinate with appropriate partners to ensure efficient and effective use of grant funds).

(Conclude with general statement of confidence in and support for the organization seeking assistance, based on past experience with the applicant entity, reputation for effectiveness).

(Provide the following information for the point of contact in the supporting organization).
Name
Title
Agency
Division (if applicable)
State
Address
Phone
Fax Number
Email