

**U.S. Department of Health and Human Services
Office of the Assistant Secretary for Preparedness and Response**

**Funding Opportunity Announcement
and Cooperative Agreement Application Instructions**

Funding Opportunity Title:

Planning Grant for Healthcare and Public Health Sector Cybersecurity Information Sharing

Funding Opportunity Number: EP-HIT-15-002

Catalog of Federal Domestic Assistance (CFDA) Number: 93.835

**Technical Assistance Conference: August 13, 2015 10:00 AM – 11:00 AM ET
Conference Call Line: 888-335-0866 Passcode: 2772081**

Application Due Date: September 14, 2015 at 11:59 pm EST

Issuance Date: July 16, 2015

FY 2015

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**U.S. Department of Health and Human Services (HHS)
Assistant Secretary for Preparedness and Response (ASPR)
Office of Emergency Management (OEM)**

Announcement Type:

- **New**

Funding Opportunity Number: EP-HIT-15-002

Catalog of Federal Domestic Assistance (CFDA) Number:

93.835 – Planning Grant for Healthcare and Public Health Sector Cybersecurity Information Sharing

Dates: All applications must be submitted via Grant.gov by **September 14, 2015 at 11:59 PM EST**

I. FUNDING OPPORTUNITY DESCRIPTION

Statutory Authority

Division G, title II of the Consolidated and Further Continuing Appropriations Act, 2015, P.L. 113-235

Summary and Project Overview:

Recent high profile cybersecurity incidents have demonstrated the increasing cybersecurity threat for private sector healthcare organizations. These organizations require access to timely and accurate cybersecurity threat information in order to manage resources and establish protective measures to effectively counter this threat. A number of Executive Branch policies have placed a responsibility on the Department of Health and Human Services (“the Department”) to take on a lead role in cybersecurity threat information sharing with healthcare organizations.

Under national policies for critical infrastructure protection, threat information is to be shared with private sector organizations through a combined effort of the Department of Homeland Security, the Federal Bureau of Investigation, members of the Intelligence Community, and various Sector-Specific Agencies with unique expertise and relationships with a particular sector. The Department has been assigned as the Sector-Specific Agency for the Healthcare and Public Health Sector (“the Sector”) under Presidential Policy Directive 21 and the National Infrastructure Protection Plan. The Office of the Assistant Secretary for Preparedness and Response carries out HHS’s responsibilities for coordinating a critical infrastructure protection partnership under PPD-21 through the Critical Infrastructure Protection Branch in the Office of Emergency Management. As defined in its Sector-Specific Plan, the Sector consists of organizations representing multiple sub-sectors. These are:

- Direct Patient Care
- Health Plans and Payers
- Pharmaceuticals, Laboratories, and Blood
- Medical Materials

- Mortuary Care
- Health Information Technology
- Public Health

The Department is responsible for collaborating and sharing information with private sector organizations across these sub-sectors on matters related to critical infrastructure security and resilience.

Executive Order 13636 further defines the Department's information sharing role with respect to cybersecurity threats. This Executive Order calls on the Department to participate with other Sector-Specific Agencies and the Department of Homeland Security to "increase the volume, timeliness, and quality of cyber threat information shared with U.S. private sector entities so that these entities may better protect and defend themselves against cyber threats."

On February 13 2015, the President signed Executive Order 13691: Promoting Private Sector Cybersecurity Information Sharing to encourage additional elements of private sector cybersecurity information sharing. EO 13691 encourages the development of information sharing and analysis organizations (ISAOs) to serve as focal points for cybersecurity collaboration within the private sector and between the private sector and government. This broadens existing terminology related to information sharing and analysis centers (ISACs), by identifying ISACs as one type of organization among other types of ISAOs. This EO also calls for developing a common set of voluntary standards for ISAOs. It also calls for a broadening of information sharing activities to include not just cybersecurity threats but also cybersecurity risk and incident information.

There are numerous external organizations with which the Department collaborates on cybersecurity information sharing activities that may qualify as ISAOs under Executive Order 13691. There is not one single organization that has been provided resources to share information within the entire Sector; as such information sharing may currently be limited to specific membership groups. For many of these organizations, cybersecurity information sharing is just one of many organizational missions. This Funding Opportunity Announcement (FOA) fills a gap by providing resources to enable cybersecurity information sharing by one or more ISAOs and to broaden access to and dissemination of that information across the Sector.

Funding Opportunity Objectives

This Funding Opportunity Announcement (FOA) is for a planning grant related to an expected FY 2016 cooperative agreement from HHS on cybersecurity information sharing. While the details of that cooperative agreement are not yet available and such award will be subject to the availability of funds and appropriate authority, it is expected to focus on activities related to the sharing of cybersecurity information with the Sector.

This planning grant will provide up to a total of \$150,000 to support the pre-planning and application development process of an organization or organizations intending to apply for the cooperative agreement. The objectives of this planning grant are to develop an assessment of information needs and to support the development of cooperative agreement proposals.

Objective 1: Cybersecurity Threat Information Gap Analysis

The first objective of this award is to gain an understanding of the cybersecurity threat information needs of the Sector and the gaps within both the Sector as a whole and the awardee's organization specifically in meeting these needs. A cybersecurity threat information gap analysis is due from the awardee by January 29, 2016 so that it may be used as the basis for the strategy described in Objective 2. The gap analysis should look broadly at the Sector's information needs, including organizations of different sizes across all sub-Sectors. It should also look at the needs of various personnel within these organizations, including owners/operators, executives, managers, information security professionals, clinical/scientific personnel, and others. It should look at the information that is currently being provided to these groups so that gaps may be identified. Information for the gap analysis may be gathered by various means including stakeholder engagement, exercise participation, literature review, and participation in Sector activities.

Objective 2: Capacity Building and Strategy Development

The second objective of this award is to increase organizational capacity and develop a strategy to expand cybersecurity threat information sharing in the Sector. This objective is focused on moving the ISAO beyond current threat information sharing channels to incorporate additional elements of the Sector, organizations of various sizes, and organizations that are not ISAO members. Under this objective, the ISAO may take steps to increase capacity for expanded information sharing through outreach to partner organizations, assessment of potential technology acquisitions, development of information product templates, and other planning activities.

An initial strategy with recommendations is due to HHS on March 31, 2016. This initial strategy should propose an approach for filling the gaps identified in Objective 1. It should set a strategy for using ISAO resources to this end and make recommendations for using resources outside of the ISAO, such as information resources of the Federal Government. It should also provide estimated costs for various proposed options. This will be presented to HHS for use as one source of information among others in development of an expected cooperative agreement FOA in Fiscal year 2016. A final strategy will be due at the end of the project period, which will update the initial strategy based on HHS feedback and outline options for potential sustainment of efforts in future years using cooperative agreement resources, internal ISAO resources, or other potential sources of funding.

II. AWARD INFORMATION

Total Estimated Project Cost (FY2015-FY2017): Estimate \$150,000

Total Funding Amount (FY2015): \$150,000 (subject to availability of funds)

Anticipated Number of Awards: Up to 2

Project Period Length: 1 Year

Budget Period Length: 1 Year

Ceiling of Individual Award Range: \$150,000 (if more than one award ends up being given, this amount will be less)

Anticipated Start Date: September 29, 2015

Expected Duration of Support: 1 Year

Type of Application Sought: Cooperative Agreement

Cooperative Agreement Award

The Federal Grant and Cooperative Agreement Act of 1977, 31 U.S.C. 6305, defines the cooperative agreement as similar to a grant in that a thing of value is transferred to a recipient to carry out a public purpose. However, a cooperative agreement is used whenever substantial federal involvement with the recipient during performance is anticipated. The difference between grants and cooperative agreements is the degree of federal programmatic involvement rather than the type of administrative requirements imposed.

The administrative and funding mechanism used for this program will be the cooperative agreement for which substantial ASPR programmatic involvement with awardees is anticipated during the performance period. This award is subject to the awardee(s) and collaborative requirements and responsibilities set forth in the Cooperative Agreement outlined in the program announcement under this funding opportunity and are hereby incorporated by reference as terms and conditions of this award.

ASPR Responsibilities

ASPR will be responsible for the review and approval of program activities including, but not limited to, the proposed use of funds and activities to meet the terms and conditions of the award. ASPR will also approve timelines and review progress of the program as well as monitor reporting requirements. Progress evaluation will include the development of timelines and milestones and the oversight of proposed activities through quarterly reports and on-site joint visits with principal investigator / program managers and others in the United States Government (USG) as needed.

HHS – ASPR Activities:

ASPR staff collaborator(s) and/or designee(s) activities for this program are as follows:

- Participate in orientation and/or summary update meetings with the grantee(s) on expectations, regulations and key management requirements, as well as reporting requirements, formats and contents.
- Participate in the development, review and approval of the awardee's annual work plan, detailed budget, and monitoring and evaluation plan.
- Meet via teleconference on a monthly basis with the awardee to assess technical and financial progress.
- Participate in periodic site visits to the awardee(s) and provide the awardee(s) with requested input and expert assistance as appropriate.
- Provide awardee with technical assistance and consultation in identification of appropriate resources outside of both the awardee and HHS to support awardee activities.
- Coordinate activities and synergies with the awardee for this FOA with other ASPR awardees.
- Work cooperatively with the awardee to assure that all necessary information and progress resulting from this cooperative agreement is provided to APSR in a format that will allow the Department of Health and Human Services to assess the continuing benefits and communicate the successes of the cooperative agreement to the general public.

- Collaborate with the awardee on designing and implementing the activities listed above, including, but not limited to the provision of technical assistance to develop program activities, participation on expert assessment panels (as appropriate) the presentation and possibly publication of program results and findings, and the management and tracking of finances related to the projects in conjunction with ASPR.

Awardee Responsibilities

The awardee has the primary authority and responsibility for defining objectives and approaches for planning, conducting, analyzing, publishing results and interpreting project outcomes. The awardee will retain custody of and primary rights to any data developed under this award, subject to US Government rights of access consistent with U.S. law and current Department of Health and Human Services (HHS) and Public Health Service (PHS) regulations and policies.

Awardee will be responsible for coordinating activities approved under the award. The awardee will be responsible for developing achievable program plans. The awardee will also be responsible for tracking that all activities and processes, follow terms and conditions of the grant, and satisfactorily adhere to budget and Monitoring and Evaluation (M&E) reporting plans. Awardee will compile program results from subrecipient (contract and subawards, if any) affiliates into consolidated semi-annual and annual reports.

The awardee will be responsible for planning and participating collaboratively with ASPR under this cooperative agreement. Through participation in monthly conference calls, the awardee will work with ASPR staff collaborator(s) and/or designee(s) in order to make progress toward its goal of performing the stated objectives above.

The following is a summary of the cooperative agreement’s annual program requirements for awardees:

- Submit all required funding application components, including project narratives, work plans, milestones, and budgets as outlined in Section IV.
- Submit required technical reports, progress reports and program and financial data.
- Ensure that technical data from both the awardee and any possible “subrecipients” necessary to evaluate the progress of the program are available to ASPR.
- Have in place fiscal and programmatic systems to document accountability and improvement.

III. ELIGIBILITY INFORMATION

Eligibility is limited to U.S. organizations. Eligible applicants that can apply for this funding opportunity are listed below:

- Nonprofit with 501(c)3 IRS status (other than institution of higher education)
- Nonprofit without 501(c)3 IRS status (other than institution of higher education)
- Universities
- Colleges
- Research institutions
- Hospitals
- Community-based organizations
- Faith-based organizations

Cost Sharing or Matching:

- There is no cost sharing or match requirement for this project.

Mandatory Meetings:

If awarded, grantee is required to attend an in-person kick-off meeting in Washington DC as well as to present to HHS by teleconference/webinar upon the completion of the Cybersecurity Threat Information Sharing Gap Analysis described under Objective 1 and the Cybersecurity Information Sharing Strategy described under Objective 2.

Screening and Responsiveness Criteria

Application Screening Criteria

Applications that fail to meet the screening criteria described below will **not** be reviewed and will receive **no** further consideration.

1. Applications must be submitted electronically via <http://www.grants.gov> by **September 14, 2015 at 11:59 PM Eastern Time**.
2. If applicant is providing a letter of intent, it must be submitted electronically to Stephen Curren at Stephen.Curren@hhs.gov by **August 5, 2015 at 5:00 PM US Eastern Time**
3. Technical Assistance Conference call will be held on August 13, 2015 10:00 AM – 11:00 AM ET Conference Call Line: 888-335-0866 Passcode: 2772081
4. The Project Narrative section of the Application must be **double-spaced**, on 8 ½" x 11" plain white paper with **1" margins** on both sides, and a **font size of not less than 11**.
5. **The Project Narrative must not exceed 30 pages**. NOTE: The Project Work Plan, Letters of Commitment, budget narrative and justification forms, Vitae of Key Project Personnel and Other Relevant Annexes **are not counted** as part of the Project Narrative for purposes of the 30-page limit.

Application Responsiveness Criteria

Applications that do not meet the following responsiveness criteria will be administratively eliminated and will not be reviewed:

- Applications submitted after the due date and time will not be reviewed.
- Applications submitted by non-eligible entities will not be reviewed.
- Applications submitted by individuals will not be reviewed.
- Applications failing to include the required forms will not be reviewed.
- ASPR will not accept applications with a Project Narrative that exceeds 30 pages. NOTE: The Project Work Plan, Letters of Commitment, budget narrative and justification forms, Vitae of Key Project Personnel and Other Relevant Annexes **are not counted** as part of the Project Narrative for purposes of the 30-page limit.

IV. APPLICATION AND SUBMISSION INFORMATION

Application Package

Application materials can be obtained from <http://www.grants.gov>. You must register with grants.gov prior to submitting an application. Applicants previously registered must assure that the registration is still valid and up-to-date. Registration and re-registration may take up to 10 working days to process. Failure to submit the application on time due to late registration will result in ASPR not accepting the application.

Applicants are strongly encouraged to send a letter of intent to the program office by August 5, 2015, outlining the project abstract and approximate funding request. Letters of intent should be sent by email to the attention of [Stephen Curren](mailto:Stephen.Curren@hhs.gov) at Stephen.Curren@hhs.gov.

Applications must be submitted electronically through grants.gov by the application deadline of **September 14, 2015 at 11:59 PM Eastern Time**. ASPR will not accept any applications that are not submitted electronically via grants.gov.

Grants.gov (<http://www.grants.gov>) will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in <http://www.grants.gov>. After ASPR retrieves your application form from <http://www.grants.gov>, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by <http://www.grants.gov>.

Required registrations:

Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) Requirements:

Except for those entities exempt from requirements listed at 2 CFR Part 25 (e.g., individuals), effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV) or receive sub-awards directly from recipients of those grant funds to:

Be registered in the CCR prior to submitting an application of plan;

Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and

Provide its DUNS number in each application or plan it submits to the OPDIV.

An award cannot be made until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, ASPR:

May determine that the applicant is not qualified to receive an award; and

May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier sub-award recipients (i.e., direct sub-recipient) must have a DUNS number at the time the sub-award is made.

CCR registration may be made online at <https://www.sam.gov/portal/public/SAM/>

Content and Form of Application Submission (See section VIII. OTHER INFORMATION)

The following document and sections need to be submitted to ASPR in order to be considered for funding; forms are available on grants.gov within the application package:

Application for Federal Assistance – Standard Form SF 424. By signing the SF 424 the applicant agrees not only to assurances and certification, as described on the form, but to all the requirements for this specific appropriation including, but not limited to, the insurance statement as seen on Attachment E.

Budget Information – Standard Form SF 242A

Assurances (Non-Construction Programs) - Standard Form SF 424B

****Project Narrative****

The Project Narrative must be double-spaced, on 8 ½" x 11" paper with 1" margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. ASPR will not accept applications with a Project Narrative for Track 1 that exceeds 30 pages. The Monitoring and Evaluation Plan, Curriculum Vitae of Key Personnel, and other Annexes are not counted as part of the Project Narrative for purposes of the 30-page limit, but all of the other sections noted below are included in the limit.

The components of the Project Narrative counted as part of the page limit include:

Abstract

Goal(s) and Objective(s)

Proposed Approach, Work Plan, and Timeline of Proposed Activities – these plans may be in narrative or chart form (see attachments for suggested formats). Any forms submitted to meet this required section will be counted as part of the page limitation.

Evaluation Plan – these plans may be in narrative or chart form (see attachments for suggested formats). Any forms submitted to meet this required section will be counted as part of the 30 page limitation.

Any Other Relevant Annexes that do not count toward the page limit include:

Key Personnel CV – only required if new key personnel are part of this project

Letters of Commitment – only required between collaborating entities

Budget Narrative – see suggested format in attachment section

Self-monitoring plan and contingency activities identified to ensure project completion and funding outlays are completed within the 12 month project period

Other documents, as needed

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not the project meets the minimum requirements for grants under sections 301 of the Public Health Service Act. The Project Narrative should provide a clear and concise description of the project. ASPR recommends that the project narrative include the following components.

****Abstract****

This section should include a brief (no more than 265 words maximum) description of the proposed project, including: goal(s), objectives, outcomes, and products to be developed. Detailed instructions for completing the abstract are included in Attachment D of this document.

****Goal and Objectives****

This section should consist of a description of the project's goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. The goal and objectives stated in Section 1 "Funding Opportunity Description" are suggestions and the applicant is free to modify, edit or propose other goal and objectives, but they must similarly align with the ones proposed in this Funding Opportunity Announcement.

****Workplan and Timeline of Proposed Activities****

Each proposed grant activity should have clear timelines for execution and completion.

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all of the project period. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the Sample Work Plan format included in Attachment C.

****Organizational Capability****

Each application should include an organizational capability statement. The organizational capability statement should describe how the applicant entity (or the particular division of a larger entity which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses.

This description should cover capabilities of the applicant entity not included elsewhere in the narrative, such as any current or previous relevant experience and/or the record of the project team in producing cogent and useful reports, publications, or other products.

This section should also include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of the project; monitoring the project's on-going progress; preparation of reports; and communications with other partners and ASPR. Curriculum vitae for key project personnel should feature in the annexes.

Annexes

****Key Personnel****

Please attach short curriculum vitae for key project staff only (no more than one page). Neither curriculum vitae nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing the project and achieving project goals.

****Letters of Commitment****

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via <http://www.grants.gov>, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may email them to asprgrants@hhs.gov or fax them to the ASPR Office of Grants Management at 202-245-0789 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

****Budget Narrative****

The Budget Narrative/Justification should be provided. The Budget Narrative is used to determine reasonableness and allowability of costs for the project. All of the proposed costs listed, whether supported by federal funds or non-federal match, must be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable federal cost principles, auditable, and incurred during the budget period.

A sample format is included as Attachment B of this Funding Opportunity Announcement. Applicants are encouraged to pay particular attention to Attachment B, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding, is required. The Budget Narrative should include travel and relevant expenses to attend the awardee meeting in Washington, DC.

A self-monitoring plan and contingency activities should be identified to ensure project completion and funding outlays are completed within the 24 month project period.

Intergovernmental Review

This funding opportunity announcement is not subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs."

Funding Restrictions

The following activities are not fundable:

- Cost of money is not allowed even if it's in your negotiated rate agreement
- No profit or fee allowed
- All salaries are capped at the rate of Executive Level II. Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235), signed into law on December 16, 2014, restricts the amount of direct salary to Executive Level II of the Federal Executive pay scale – the Executive Level II is \$183,300 effective January 11, 2015
- Construction is not allowed.
- To carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.
- To advocate or promote gun control.
- Funds cannot be used to lobby.
- Pre-award costs are not allowed.
- Lobbying Restrictions (<http://www.hhs.gov/grants/grants/grants-policies-regulations/lobbying-restrictions.html>)

V. APPLICATION REVIEW INFORMATION

1. Criteria

The application will be reviewed using the following criteria. Scores assigned will assist the reviewer in scoring the applications. It is ASPR's practice to fund only those projects that score in the fundable range.

The following scoring system will be used:

1. Organizational capacity – 30 points
2. Technical Expertise – 25 points
3. Technical Approach – 25 points
4. Management Approach – 10 points
5. Budget Allocation – 10 points

Criterion 1. Organizational Capacity (30 points)

- i. Does the applicant organization clearly identify capacity for carrying out the proposed project? (10 points)
- ii. Does the organization have established working relationships with key Sector organizations and government agencies that can be leveraged to expand outreach across the Sector? (10 points)
- iii. Does the applicant organization have basic cybersecurity threat information sharing capabilities that could be expanded under this planning grant? (10 points)

Criterion 2. Technical Expertise (25 points)

- i. Does the applicant organization possess knowledge of the structure and organization of the Healthcare and Public Health Sector, key Sector cybersecurity risks, relevant cybersecurity policies and industry standards, threat information sharing processes, and sources of cybersecurity threat information? Does the organization have proven experience in these matters? (25 points)

Criterion 3. Technical Approach (25 points)

- i. Is the applicant's technical approach to implementing this project likely to lead to successful completion of the project objectives? (25 points)

Criterion 4. Management Approach (10 points)

- i. Does the applicant organization propose a management approach that is expected to lead to the efficient and appropriate use of resources to accomplish the project objectives while ensuring high quality of work? (10 points)

Criterion 5. Budget Allocation (10 points)

- i. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items clearly delineated and consistent with work plan objectives? (10 points)

Protections for Human Subjects

If the research involves human subjects but does not involve one of the six categories of research that are exempt under [45 CFR Part 46](#), the committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their participation. The committee will assess any IRB materials included in the application, including IRB assessment of standard review criteria (1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, and 5) data and safety monitoring for clinical trials.

For research that involves human subjects and meets the criteria for one or more of the six categories of research that are exempt under 45 CFR Part 46, the committee will evaluate: 1) the justification for the exemption, 2) human subjects involvement and characteristics, and 3) sources of materials.

If the proposed research involves the use of human data and/or biological specimens, a justification must be provided for the claim that no human subjects are involved in the Protection of Human Subjects section of the Research Plan.

Inclusion of Women, Minorities, and Children

When the proposed project involves clinical research, the committee will evaluate the proposed plans for inclusion of minorities and members of both genders, as well as the inclusion of children.

Vertebrate Animals

The committee will evaluate the involvement of live vertebrate animals as part of the scientific assessment according to the following five points: 1) proposed use of the animals, and species, strains, ages, sex, and numbers to be used; 2) justifications for the use of animals and for the appropriateness of the species and numbers proposed; 3) adequacy of veterinary care; 4) procedures for limiting discomfort, distress, pain and injury to that which is unavoidable in the conduct of scientifically sound research including the use of analgesic, anesthetic, and tranquilizing drugs and/or comfortable restraining devices; and 5) methods of euthanasia and reason for selection if not consistent with the AVMA Guidelines on Euthanasia.

Biohazards

Reviewers will assess whether materials or procedures proposed are potentially hazardous to research personnel and/or the environment, and if needed, determine whether adequate protection is proposed.

Resource Sharing Plans

Recipients of grant awards should make research resources and data readily available for research purposes to qualified individuals within the scientific community after publication. Investigators responding to this funding opportunity should include a plan on sharing research resources and data.

Budget and Period of Support

Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research. Research partnerships or collaborations with organizations in the affected regions and their specific role and contribution to the conduct of the proposed study should be reflected in the proposed budget.

NOTE: Preference will be given to applications submitted by entities that are based or have significant operations in one of the states, including the District of Columbia, identified as a major disaster area (see eligibility criteria).

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

The Notice of Award is the authorizing document from the ASPR authorizing official, the Officer of Grants Management, and the ASPR Office of Financial Planning and Analysis. The Notice of Award will be sent electronically upon successful review of the application. The Notice of Award sets forth the amount of funds granted, the terms and

conditions of the award, the effective date of the award, the budget period for which initial support will be given, the non-federal share to be provided (if applicable), and the total project period for which support is contemplated.

Each applicant will receive written notification of the outcome of the objective review process, including a summary of the expert committee's assessment of the application's strengths and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance.

2. Administrative and National Policy Requirements

The award is subject to HHS Administrative Requirements, which can be found in 45 CFR Part 74 and 92 and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement located at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

The signature of the authorized organizational representative on the application indicates that the organization complies, or intends to comply, with all applicable public policy requirements as listed in Attachment F of this document.

3. Reporting

Applicants funded under this announcement will be required to electronically submit quarterly program progress reports and Federal Financial Reports (FFR) SF-425. Final performance and financial reports are due 90 days after the end of the project period.

Progress Reporting: Applicants funded under this announcement will be required to electronically submit quarterly program progress reports. As part of the progress report, financial information will be reported both per major category of expense, and by objectives. Grantees will include sub-recipient monitoring activities that were completed during each quarter.

Subaward and Executive Compensation Reporting: Applicants must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at [2 CFR Part 170](#), unless they qualify for an exception from the requirements, should they be selected for funding.

Cash Transaction Reporting: Recipients must report cash transaction data using the Federal Financial Report (FFR), SF-425. Recipients will utilize the SF-425 lines 10.a through 10.c to report cash transaction data to the Division of Payment Management. The FFR SF-425 (lines 10.a through 10.c) is due to the Payment Management System 30 days after the end of each calendar quarter. The FFR SF-425 electronic submission and dates for the new quarters will be announced through the Payment Management/SmartLink Payment System's bulletin board. Funds will be frozen if the report is not filed on or before the due date.

Federal Disbursement Reporting: The SF-425 will also be used for reporting of expenditure data to meet ASPR's quarterly financial reporting requirement. All other lines except 10.a through 10.c should be completed.

Tangible Property Report: Awardees will be required to submit an annual (after each 12 month period) Tangible Property Report (SF 428). Final SF 428 reports are due 90 days after the end of the project period.

Annual A-133 Audits: In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal assistance awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees will be required to audit this program as a major program.

ASPR will closely monitor all grants and, throughout the course of the project, the grantee may be asked to submit additional reports and other documents.

ASPR will conduct a financial and management capability review. Applicants/grantees will be asked to provide financial and management documents to allow ASPR to complete this requirement.

VII. AGENCY CONTACTS

Grants Management Officer:

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Attn: Brenda Cox
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Project Officer:

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Office of the Assistant Secretary for Preparedness and Response
Washington, DC 20201
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VIII. OTHER INFORMATION

Review and Selection Process

A review panel of subject matter experts from multiple Department Operating and Staff Divisions will make a determination on this award based on the criteria stated above. All reviewers will be federal employees. Up to two awards may be granted based on acceptability of applications received. Determination on the number of awards to grant will be made by the review panel.

Proposals will be scored based on the Application Review Criteria listed in Section V. above.

Receipt of this award is not expected to be a prerequisite for consideration for the cybersecurity information sharing cooperative agreement expected to be awarded in FY 2016.

Application Elements

- a. SF 424 – Application for Federal Assistance**
 - b. SF 424A – Budget Information**
 - c. Separate Budget Narrative/Justification**
 - d. SF 424B – Assurances**
 - e. Lobbying Certification.**
 - f. Proof of non-profit status, if applicable**
- g. Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. Upon issuing a contract or sub-award, copies of their indirect cost agreements must be forwarded to the Division of Grants.**
- h. Project Narrative with Work Plan**
- i. Organizational Capability Statement and Vitae for Key Project Personnel.**
- j. Letters of Commitment from Key Partners.**

**Attachment A: Instructions for Completing Required Forms
(SF 424, Budget (SF 424A), Budget Narrative/Justification)**

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are 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. ASPR does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

a. Standard Form 424

1. **Type of Submission:** (Required): Application

2. **Type of Application:** (Required) New

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a **Federal Entity Identifier:** Leave this field blank

5b. **Federal Award Identifier:** Leave this field blank

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information:** Enter the following in accordance with agency instructions:

a. **Legal Name:** (Required): Enter the name that the organization has registered with the Central Contractor Registry.

b. **Employer/Taxpayer Number (EIN/TIN):** (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

c. **Organizational DUNS:** (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet.

d. **Address:** (Required) Enter the complete address including the county.

e. **Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

f. **Name and contact information of person to be contacted on matters involving this application:** Complete

9. **Type of Applicant:** (Required) Select the applicant organization "type" from the drop down list.

10. **Name of Federal Agency:** (Required) Enter U.S. Assistant Secretary for Preparedness and Response

11. **Catalog Of Federal Domestic Assistance Number/Title:** 93.095
12. **Funding Opportunity Number/Title:** (Required)
13. **Competition Identification Number/Title:** Leave this field blank.
14. **Areas Affected By Project:** List the largest political entity affected (cities, counties, state etc).
15. **Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project.
16. **Congressional Districts Of:** (Required) **16a.** Enter the applicant's Congressional District, and **16b.** 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. 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.
17. **Proposed Project Start and End Dates:** (Required)
18. **Estimated Funding:** (Required) Enter the amount requested.
19. **Is Application Subject to Review by State Under Executive Order 12372 Process?** Check appropriate box
20. **Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.
21. **Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)

b. Standard Form 424A

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

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total non-Federal costs (including third party in-kind contributions and any program income to be used as part of the Awardee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

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

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

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

Line 6a: **Personnel:** Enter total costs of salaries and wages of applicant/Awardee staff. Do not include the costs of consultants, which should be included under 6h - Other.

Line 6b: **Fringe Benefits:** Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

Line 6c: **Travel:** Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other.

Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

Line 6d: **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all Awardees, "equipment" is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more *per unit*. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

Line 6e: **Supplies:** Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

Line 6f: **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

Line 6g: **Construction:** Leave blank since construction is not an allowable costs for 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, 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.

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

Line 6j: **Indirect Charges:** Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on

the Federal share of your direct costs. Any unused portion of the Awardee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

NOTE: If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-Awardees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

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

Line 7: **Program Income:** As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as Awardee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Keep in mind that if the match requirement is not met, Federal dollars may be reduced.

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.

c. Standard Form 424B - Assurances

This form contains assurances required of applicants under the discretionary funds programs administered by the Assistant Secretary for Preparedness and Response. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

d. Certification Regarding Lobbying

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

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

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.

Attachment B: Budget Narrative/Justification – Page 1 – Sample Format

The Budget Summary is used to determine reasonableness and allowability of costs for the project. All of the proposed costs listed, whether supported by Federal funds or non-Federal match, must be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable Federal cost principles, auditable, and incurred during the budget period.

Non-Federal Match: (include when grant requires the match/cost sharing)

Matching funds provide support for the purpose and goals of this proposal and enhance the Federal budget request. Applicant is required to provide a detailed listing of all match used to meet the match requirement. In the narrative justification sections describe how the funds support the project and enhance the Federal budget.

All funding used for match must be documented in the same manner as Federal funds. All match funds must follow the same cost principles and regulations that are used for Federal funds – to count as match you must be able to use Federal funds to purchase the item.

An allowable project cost is a cost that is:

- Necessary for the performance of the award.
- Allocable to the project.
- In conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost.
- Consistent with the recipient's regulations, policies, and procedures which are applied uniformly to both Federally-supported and other activities of the organization.
- Accorded consistent treatment as a direct or indirect cost.
- Determined in accordance with generally accepted accounting principles.
- Not included as a cost in any other Federally-supported award.

The following four tests are used in determining the allowability of costs:

- **Reasonableness (including necessity).** A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether

the cost is of a type generally necessary for the organization’s operations or the grant’s performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large, as well as to their organization.

- **Allocability.** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable if it is incurred solely to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.
- **Consistency.** Recipients must be consistent in assigning costs to cost objectives. Regulations regarding cost assignment must be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to avoid duplicate charges.
- **Conformance.** Conformance with limitations and exclusions contained in the Terms and Conditions of award, including those in the cost principles, may vary by the type of activity, the type of recipient, and other characteristics of individual awards.

Budget Summary

(only include section for Non-Federal Match if required by the application)

Section A: Personnel - An employee of the applying agency whose work is tied to the application. Proposed salaries must be reasonable. Compensation paid for employees must be reasonable and consistent with that paid for similar work within the applicant’s organization and similar positions in the industry.

Non-Federal Match: Separately list all personnel that will be working on the project and whose time and effort will be used to meet the non-Federal Match requirement. Personnel used as match must be documented through signed time cards and payroll documents. List the source of the match – i.e. State funds.

Table 1: Personnel

Position	Name	Annual Salary/Rate	Level of Effort	Federal Cost	Match
Project Director	Susan Jones	\$45,000/year	100%	\$45,000	
Project Coordinator	Brad Smith	\$42,000/year	50%	\$21,000	
			TOTAL	\$66,000	

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

B. Fringe Benefits: Fringe benefits may include contributions for items such as social security, employee insurance, and pension plans. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. If fringe benefits are not computed as a percentage of salary (i.e. 25%), list all components of the fringe benefits rate, for example:

Non-Federal Match: List for all personnel shown in table 1 under the match section. Match documentation includes payroll records and pay slips. List the source of the match – i.e. State funds.

Table 2: Fringe Benefits

Component	Rate	Wage	Federal Cost	Match
FICA	7.65%	66,000	\$5,049	
Insurance	5%	66,000	\$3,300	
		TOTAL	\$8,349	

NARRATIVE JUSTIFICATION: Enter a description of the fringe funds requested and how the rate was determined.

C. Travel: Federal funds requested for travel are for staff travel only (travel for consultants is listed in consultant category). Travel for other participants, committee members, etc. should be listed under the cost category “other”. Applicants are to use the lowest available commercial fares for coach or equivalent accommodations. Note that Applicants will be expected to follow Federal travel policies found at <http://www.gsa.gov>.

Non-Federal Match: The travel costs must be documented through travel authorizations and paid vouchers. Local travel should be documented by miles traveled. List the source of the match – i.e. State funds.

Table 3: Travel

Purpose of Travel	Location	Item	Rate	Federal Cost	Match
Attend awardee meeting	Washington, DC	Air Fare	\$350 X 4 people	\$1,400	
		Per Diem	\$71/day X 4 days X 4 people	\$1,136	
		Airport Parking	\$10/day X 4 days	\$40	
		Airport Shuttle	\$28/RT X 4 people	\$112	
		Hotel	\$211/night X 3 nights X 4 people	\$2532	
		Subtotal			\$4,120
Local travel	Various	POV	.44/mile X 2,000 miles/year	\$880	
			TOTAL	\$5,000	

NARRATIVE JUSTIFICATION: Explain the purpose for all travel and how costs were determined. List any required travel, funds for local travel that are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency’s personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

D. Equipment: Permanent equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines “equipment” at a different rate, then follow the applying agency’s policy. In the case of vehicles, etc. applicant should justify purchase rather than rental. If equipment is used by several different projects, you may only charge a percentage of the costs

for the purchase based on the amount of time, etc. that the equipment will be used for this grant program. Any purchased equipments must be inventoried according to the guidelines in the HHS Grants Policy Statement.

Non-Federal Match: Enter a description of the equipment match provided and how its use will support the purpose and goals of this proposal. Documentation of match should be in inventory and use records. List the source of the match – i.e. State funds.

Table 4: Equipment

Item(s)	Rate	Federal Cost	Match
Computer Work Station	\$5,500 X 2	\$11,000	
Computer	\$6,000 X .5FTE	\$3,000	
	TOTAL	\$ 14,000	

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

E. Supplies: Materials costing less than \$5,000 per unit and often having one-time use, for example – general office supplies, postage, printers, etc.

Non-Federal Match: Please note that items such as computers, desks, and projection equipment may be counted as match only once throughout the life of the project. Documentation includes invoices and donation records. List the source of the match – i.e. State funds.

Table 5: Supplies

Item(s)	Rate	Federal Cost	Match
General Office Supplies	\$50/month X 4 FTE	\$200	
	TOTAL	\$200	

NARRATIVE JUSTIFICATION: Enter a description of the supplies requested and how their purchase will support the purpose and goals of this proposal. Rates for office supplies, etc. may be based on average monthly costs, FTE, etc.

F. Contracts and Consultants: An arrangement to carry out a portion of the programmatic effort by a third-party or for the acquisition of goods or services is allowed under the grant. Such arrangements may be in the form of sub awards (grants) or contracts. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. List each contract, consultant or sub award separately and provide an itemization of the costs. If a contractor is to be determined, provide a best estimate as to costs for the goods or services to be purchased.

The awardee must establish written procurement policies and procedures that are consistently applied. All procurement transactions are required to be conducted in a manner to provide to the maximum extent practical, open and free competition. The awardee should be alert to organizational conflicts of interest as well as to noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.

Method of Selection: This will be sole source, competition, or grant.

Scope of Work: Provide a breakout of the goods and/or services being provided by the contractor. If personnel are being charged then should list name, position, hours and rate/hour. Goods will be listed at number of units and cost/unit. List method to be used for sub-recipient monitoring – site visit, semi-annual reports, etc. Documentation of monitoring should be kept with the contract/award file.

Non-Federal Match: Enter any contracts, etc. that are being used to meet this requirement. When making a contract, a portion may be “donated” to this project by the contracted organizations and should be so noted in the contractual agreement (i.e.: Media outlets may give one free ad for each purchased). If this arrangement has been reached, it should be noted in the justification section. Documentation includes copies of contractual agreements, payment and donation records.

Table 6: Contract/Sub award

Activity	Name	Method of Selection	Scope of Work	Federal Cost	Match
Public Information	WMTV	Sole source	Paid Ads 12/month X \$250/ad X 6 mo. Paid Ads 12/month X \$250/ad X 6 mo Monitoring: semi-annual report	\$18,000	\$18,000
Mobil Medical Assets	To Be Determined	Competition	Medical supply inventory (\$1,600) Wheelchair bus conversions(6 X \$37,000) Monitoring: semi-annual report	\$223,600	
			TOTAL	\$ 241,600	\$18,000

NARRATIVE JUSTIFICATION: Provide information as to how the contracted services or goods will enhance the project goals and objectives. Provide sole source justification.

Table 7: Consultant

Organization	Name	Number of Days	Rates	Federal Cost	Match
Trepid	Jon Smith	20	\$150/day Travel 4 trips X 1,204 (travel @ \$475; lodging @ \$175/night X 3; Per Diem @ \$51 x4) = \$4,816	\$ 7,816	
			TOTAL	\$ 7,816	

NARRATIVE JUSTIFICATION: Provide information as to how the consultant services or goods will enhance the project goals and objectives.

G. Other:

Expenses not covered in any of the previous budget categories. If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arm’s length arrangement, provide cost of ownership/use allowance calculations.

Non-Federal Match: Break down costs into cost/unit (e.g., cost/square foot) and explain the use of each item requested. Documentation includes donation, usage, transaction and/or payment records. List the source of match funds – i.e. State funds.

Table 8: Other

Item	Rate	Federal Cost	Match
Postage	\$65/mo. X 4 FTE	\$3,120	
	TOTAL	\$3,120	

NARRATIVE JUSTIFICATION: Explain the need for each item and how it will support the purpose and goals of this proposal. Break down costs into cost/unit (e.g., cost/square foot or cost/month or cost/FTE).

H. Indirect Costs:

Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (i.e., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. If indirect costs are claimed, applicant is to submit a copy of a current negotiated indirect cost rate agreement. Indirect costs are only charged on the items cited in the indirect cost rate agreement (i.e. – personnel and fringe, subawards over \$25,000).

Non-Federal Match: Unclaimed indirect costs for costs incurred by using the Federal funds may be used to meet the match requirement. Indirect costs may be charged on the appropriate costs listed in the match categories that are provided by the applicant agency. Documentation should be included in the accounting records of the applicant agency.

Table 9: Indirect costs

Total Direct Cost applied to Indirect Cost	Indirect Cost Rate	Federal Cost	Match
\$450,000	22%	\$99,000	
	TOTAL	\$99,000	

I. FUNDING REQUESTED FOR THE TOTAL PROJECT PERIOD

Table 10: FUNDING REQUESTED FOR THE TOTAL PROJECT PERIOD

Provide a summary of the year one proposed costs (both direct and indirect). Provide the best estimate of the funding that will be needed for each of the years to complete the total project period (for HPP 4 years).

*** FUNDING REQUESTED FOR YEARS 2 THROUGH 4 (if applicable)**

- 1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.**
- 2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policies and procedures that state all employees within the organization will receive a COLA.**

Attachment C: Project Work Plan, Page 1 – Sample Template

Goal:

Measurable Outcome(s):

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														

Add as many pages as needed

Attachment D: Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, please limit the length to no more than 265 words on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

Goal(s) – broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be

Objective(s) – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the “how”). Specific performances which will result in the attainment of a goal.

Outcomes - measurable results of a project. Positive benefits or negative changes, or measurable characteristics that occur as a result of an organization's or program's activities. (outcomes are the end-point)

Products – materials, deliverables.

- A model abstract/summary is provided below:

The Awardee, Okoboji University, supports this three year Dementia Disease demonstration (DD) project in collaboration with the local Alzheimer's Association and related Dementias groups. The **goal** of the project is to provide comprehensive, coordinated care to individuals with memory concerns and to their caregivers. The approach is to expand the services and to integrate the bio-psycho-social aspects of care. The **objectives** are: 1) to provide dementia specific care, i.e., care management fully integrated into the services provided; 2) to train staff, students and volunteers; 3) to establish a system infrastructure to support services to individuals with early stage dementia and to their caregivers; 4) to develop linkages with community agencies; 5) to expand the assessment and intervention services; 6) to evaluate the impact of the added services; 7) to disseminate project information. The expected **outcomes** of this DD project are: patients will maintain as high a level of mental function and physical functions (thru Yoga) as possible; caregivers will increase ability to cope with changes; and pre and post – project patient evaluation will reflect positive results from expanded and integrated services. The **products** from this project are: a final report, including evaluation results; a website; articles for publication; data on driver assessment and in-home cognitive retraining; abstracts for national conferences.

Attachment E

II. Potentially Applicable Public Policy Requirements

The following table specifies those public policy requirements that may apply to all or a subset of HHS grant programs and awards. The following key applies to use of this table. The “Types of Applicants/Recipients” column indicates applicability by type of entity, the “Types of Subrecipients” and “Contractors under grant” columns indicate whether the requirement flows down, as well as applicability by organizational type. An “NA” means it does not flow-down.

Public Policy Mandates or Encouragements				
Requirement	Applicability	Types of Applicants/ Recipients	Subawards	Contracts for routine goods/services
Age Discrimination Act of 1975	All applications from and awards to domestic entities	NA to foreign and international organizations	NA to foreign and international organizations	NA to foreign and international organizations
Animal Welfare	Applications and awards for activities involving warm-blooded animals	All	All	All
Ban on Cloning of Human Beings (Presidential memorandum of March 4, 1997)	All awards	All	All	All
Certificates of Confidentiality	Research awards (includes research training in each case specified as “research”)	All	All	All
Civil Rights Act of 1964 (Title VI)	All applications from and awards to domestic entities	NA to foreign and international organizations	NA to foreign and international organizations	NA to foreign and international organizations
Confidentiality of Patient/Client Records	All research awards and awards to substance abuse programs	All	All	All

Drug-Free Workplace	All covered applications and awards	All	NA	NA
Education Amendments of 1972 (Title IX)	All applications from and awards to domestic entities	Does not apply to foreign and international organizations	Does not apply to foreign and international organizations	Does not apply to foreign and international organizations
Financial Conflict of Interest	All applications and awards for research	Does not apply to Phase I of the SBIR/STTR programs and to Federal institutions	All except Federal institutions	NA
Fly America Act/ U.S. Flag Air Carriers	All types of awards	All	All	All
Hatch Act	Awards to State or local governments	All	All	NA
Health Insurance Portability and Accountability Act (HIPAA)	All awards to covered entities	All covered entities	All covered entities	All covered entities
Historic Preservation/ Archaeological Sites	All awards that include major or minor A&R, construction, or any work that will result in physical changes to real property	All	All (Note: applicability to subrecipients is being considered based on recent litigation)	All
Human Subjects Protections	Research applications and awards	All	All	All
Investigational New Drug Applications/ Investigational Device Exceptions	Research awards	All	All	All

Limited English Proficiency	All types of awards	All	All	NA
Lobbying	<p>Varies depending on source of requirement</p> <p>Byrd Anti-Lobbying Amendment applies to all awards expected to exceed \$100,000 (except that Indian tribes, tribal organizations, and any other Indian organizations may be exempted from the Byrd Anti-Lobbying Amendment with respect to expenditures specifically permitted by other federal law)</p> <p>Cost principles apply as indicated therein</p> <p>Limitations in 18 U.S.C. 1913 apply to all awards</p>	All consistent with "Applicability"	All consistent with "Applicability"	All consistent with "Applicability"
Military Recruiting and Reserve Officer Training Corps Access	All types of applications and awards	Institutions of higher education	Institutions of higher education	NA
Pro-Children Act	All awards performed in facilities where children are served	All	All	All
Protection of Research Subjects' Identity	All research awards	All	All	All

Public Health Security and Bioterrorism Preparedness and Response Act	All types of awards	All	All	All
Recombinant DNA Molecules and Human Gene Transfer Research	Applications and awards for research	All	All	All
Research Misconduct	Applications and awards for research and research training	All	NA	NA
Research on Transplantation of Human Fetal Tissue	Research awards	All	All	All
Resource Conservation and Recovery Act	All awards to States or agency of a political subdivision of a State (which for this purpose includes State and local institutions of higher education or hospitals)	All	All	All
Seat Belt Use (EO 13043)	All types of awards	All	NA	NA
Smoke-Free Workplace	All awards	All	NA	NA
Standards of Conduct	All types of awards	All	NA	NA
Text Messaging While Driving (EO 13513)	All			
Trafficking in Persons (Trafficking Victims Protection Act, as amended; 2 CFR part 175	All types of awards	Private entities	Private entities	NA

Uniform Relocation Assistance and Real Property Acquisition Policies Act	All awards, but, in particular, those involving acquisition of real property	All	All	NA
USA PATRIOT Act	All types of awards	All	All	All

