

OFFICE OF ADOLESCENT HEALTH

GUIDANCE FOR PREPARING A NON-COMPETING CONTINUATION GRANT APPLICATION



March 2011

Office of Adolescent Health

GUIDANCE FOR PREPARING A NON-COMPETING CONTINUATION GRANT
APPLICATION

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Office of Adolescent Health
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GRANT APPLICATION

PART ONE: GENERAL INSTRUCTIONS

Eligibility

These instructions are applicable to existing Office of Adolescent Health grantees and provide guidance on the preparation of a non-competing continuation grant application.

Purpose

The purpose of a non-competing continuation grant application is to:

- Report on the progress of the project during the current budget year.
- Provide a work plan (inclusive of program and evaluation activities) for the upcoming budget year.
- Provide a detailed Budget and Budget Narrative Justification for the upcoming year.

Each section of the continuation application should justify and support the other sections. The Exhibits included in this Guidance offer examples of how to provide the required information in a clear and succinct way.

The OAH Guidance for Preparing a Non-Competing Continuation Grant Application prescribes the content, information, and data requirements for OAH non-competing grant applications. This guidance should be used in conjunction with the Funding Opportunity Announcement (FOA) under which the competing grant application was funded and any other application materials provided by the Office of Grants Management or posted at GrantsSolutions.gov in the non-competing application kit. The FOA provides information and guidance for grantees for the entire project period.

Non-competing continuation grant applications will be reviewed by the OAH Project Officer and the OASH Office of Grants Management. The application must provide detailed information on the progress in accomplishing goals and objectives during the first six months of the current budget year; a detailed work plan that outlines the goals, objectives, and activities for the upcoming budget year; and a detailed budget and budget justification for the upcoming budget year. Grantees are encouraged not to request more than the amount of Federal funds recommended for the continuation of their project for the upcoming budget year. This amount is shown in section 13 of the current Notice of Grant Award. Carryover requests should not be included in non-competing continuation grant applications.

PART TWO: NON-COMPETING APPLICATION PREPARATION AND SUBMISSION

Application Submission

The Office of the Assistant Secretary for Health (OASH) provides grantees with the ability to submit non-competing continuation applications electronically via GrantSolutions.gov or by submitting hard copy applications to the OASH Office of Grants Management. Applicants will receive notification via mail from the OASH Office of Grants Management confirming the receipt of applications submitted using either of these mechanisms.

While non-competing continuation grant applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the GrantSolutions system is highly encouraged. Non-competing continuation grant applications may only be submitted electronically via the electronic submission mechanism specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. Grantees are encouraged to initiate electronic applications early in the application development process, and to submit early on or before the due date. This will aid in addressing any problems with submission prior to the application deadline.

Applications must be received by Tuesday, **May 31, 2011**. Applications submitted to the OASH Office of Grants Management after the deadline will not be accepted for review.

Your non-competing continuation application kit can be found in GrantSolutions.gov. If you encounter any difficulties submitting your non-competing continuation grant application, through GrantSolutions.gov, please contact the GrantSolutions helpdesk at (866) 577-0771 or help@grantsolutions.gov prior to the submission deadline. If you need further information regarding the application process, please contact your Grants Management Specialist. For programmatic information, please contact your OAH Project Officer.

Electronic Submissions via the GrantSolutions System

When submitting non-competing continuation grant applications via the GrantSolutions system, grantees are still required to submit a hard copy of the application face page (Standard Form 424) with the original signature of an individual authorized to act for the applicant agency and assume the obligations imposed by the terms and conditions of the grant award. When submitting the required hardcopy forms, do not send the entire application. Hard copy materials should be submitted to the OASH Office of Grants Management.

Electronic applications submitted via the GrantSolutions system must contain all completed online forms required by the application kit, the Project Narrative, Budget Information and any appendices. The grantee may identify specific mail-in items to be

sent to the Office of Grants Management separate from the electronic submission; however these mail-in items must be entered on the GrantSolutions Application Checklist at the time of electronic submission, and must be received by the due date.

Electronic non-competing continuation grant application submissions must be submitted no later than 11:00 p.m. Eastern Time May 31, 2011. All required hardcopy original signatures and mail-in items must be received by the Office of the Assistant Secretary for Health, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, no later than 5:00 p.m. Eastern Time on the next business day after the deadline date for the non-competing application.

Non-competing continuation grant applications will not be considered valid until all electronic application components, hardcopy original signatures, and mail-in items are received by the OASH Office of Grants Management according to the deadlines specified above. Upon completion of a successful electronic application submission, the GrantSolutions system will provide the grantee with a confirmation page indicating the date and time (Eastern Time) of the electronic application submission. This confirmation page will also provide a listing of all items that constitute the final application submission including all electronic application components, required hardcopy original signatures, and mail-in items.

As items are received by the OASH Office of Grants Management, the electronic non-competing application status will be updated to reflect the receipt of mail-in items. It is recommended that the grantee monitor the status of their application in the GrantSolutions system to ensure that all signatures and mail-in items are received.

Mailed or Hand-Delivered Hard Copy Applications

Grantees who submit applications in hard copy (via mail or hand-delivered) are required to submit an original and two copies of the application. The original application must be signed by an individual authorized to act for the applicant agency or organization and to assume for the organization the obligations imposed by the terms and conditions of the grant award.

Mailed or hand-delivered applications will be considered as meeting the deadline if they are received by the Office of Grants Management, Office of the Assistant Secretary for Health, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, on or before 5:00 p.m. Eastern Time on May 31, 2011.

PART THREE: NON-COMPETING APPLICATION CONTENT

The non-competing continuation grant application should include the required OASH grants management forms, a table of contents, project narrative that includes both a progress report for the first six months of the current project period and a work plan for the upcoming budget year, detailed budget narrative and budget justification for the upcoming budget year, and any additional materials in the appendices. The contents of the application should be properly labeled and numbered. Contents should be concise and complete and written in 12-point font.

Adherence to the following guidelines will facilitate the review of the non-competing continuation application and will ensure that the required components are submitted.

I. REQUIRED FORMS AND OTHER REQUIRED INFORMATION

Table 1 below lists the required forms and other information that must be submitted within this section of the non-competing application.

Table 1

Form	Required for Non-Competing Continuation Grant Applications	Source of Form
SF-424, Application for Federal Assistance	✓	Non-competing continuation application kit at www.grantsolutions.gov
SF-424A, Budget Information Non-Construction Program	✓	Non-competing continuation application kit at www.grantsolutions.gov
SF-424B, Assurances Non-Construction Program	✓	Non-competing continuation application kit at www.grantsolutions.gov
SF-LLL, Disclosure of Lobbying Activities	✓	Non-competing continuation application kit at www.grantsolutions.gov

II. TABLE OF CONTENTS

A Table of Contents outlining the components of the application is required and will provide assurance that all required sections of the non-competing continuation grant application have been included.

III. PROJECT NARRATIVE

The Project Narrative must include the following:

1. **Six-month Progress Report:** Describes the completion of objectives and activities during the first six months of the current budget period as reflected in your Notice of Grant Award (September 1, 2010 – February 28, 2011).
2. **Year Two work plan:** Describes the goals, objectives, activities, timeline, person/agency responsible for accomplishing each activity, and the measures of effectiveness for each objective for the next budget year (September 1, 2011 – August 31, 2012).

The project narrative is used to determine how OAH grant programs are progressing toward meeting the approved goals and objectives and for making mid course adjustments to the work plan. The narrative should be concise and complete and supporting documents (included as Appendices) should be included if they add clarity or depth, substantiate the narrative, and/or present information succinctly. Extensive appendices are not required. Non-competing continuation application narratives are evaluated on the basis of substance, not length. Cross referencing should be used rather than repetition.

A. Six-Month Progress Report

A progress report for the first six months of the current budget period is a key component of the non-competing continuation grant application. The progress report should assess progress in achieving the stated objectives and activities for the first six months of the current budget period. The progress report should include an update on both programmatic and evaluation objectives and activities.

The progress report should:

- Describe the status (met, ongoing, or unmet) of each objective and activity;
- Provide a narrative describing what has been done to work toward accomplishing the objectives and completing the planned activities (whenever possible, include statements that include the outcomes of your actions);
- Describe any barriers encountered, and how the barriers were addressed;
- If applicable, include the reasons that goals or objectives were not met and a discussion of assistance needed to resolve the situation;
- Report on any other significant project activities, accomplishments, setbacks or modifications (e.g. change in key staff, change in scope) that have occurred in the current budget period and were not part of the program work plan. These should include legislative and/or judicial actions impacting the program, as well as agency events.

See Exhibit A for an example of a Six-Month Progress Report.

B. Year Two Work plan

The work plan for Year Two (September 1, 2011 – August 31, 2012) should include the long-term goals that span the life of the five-year grant program, as well as the objectives and activities that will be completed during year two to assist in achieving the long-term goals. Programmatic efforts outlined in the work plan must align with the guidance included in the original Funding Opportunity Announcement, available at <http://www.hhs.gov/ash/oah/prevention/grants/announcements/index.html>.

The work plan should include both program-specific and evaluation-specific objectives and activities. All objectives should be SMART (specific, measurable, achievable, realistic, and time-phased). For each objective:

- Provide a rationale for the objective;
- List the activities that will be implemented to accomplish the objective;
- Provide a timeline for accomplishing each activity;
- Identify the person/agency responsible for completing each activity; and
- Identify how you will assess the achievement of the activity.

The approved work plan is intended to be an ongoing monitoring and evaluation tool for both the grantee and the Office of Adolescent Health to use throughout the approved project period.

Exhibits B and C include two examples of formats for presenting the work plan. Other formats are acceptable as long as the information is complete.

IV. BUDGET INFORMATION

This section of the non-competing continuation grant application includes the proposed budget for the upcoming budget period and a narrative budget justification. The budget request should support the proposed work plan. Items required to complete activities in the work plan should be budgeted.

In addition to the Federal funds requested, the budget information must include other Federal and non-Federal funds used to carry out the objectives included in the work plan.

A. The SF-424A Budget Information

The non-competing continuation grant application must include an SF-424A Budget Information Non-Construction Program Form. Instructions for completing the SF-424A are found in the non-competing continuation application kit on www.grantsolutions.gov. The guidance below provides supplemental information to these instructions.

1. SF 424A, Section A: Budget Summary

This section must be completed by all grantees. All non-competing applicants should report any estimated unobligated balances of OAH funds.

2. SF 424A, Section B: Budget Categories

This section is a summary of all budget calculations and information for the budget period. Use Column 1 for the basic OAH program budget. The Columns could be used as follows: Column 1-Federal; Column 2-Non-federal.

The budget categories/object class categories on the 424A are to reflect the grantee's total proposed costs for: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Other, and Indirect Costs. More specificity about the costs in each of these object class categories should be presented in the grantee's detailed budget and budget narrative justification.

3. SF 424A, Section C: Non-Federal Resources

The grantee should include realistic revenue projections that reflect actual sources of income for the project. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under Federally-funded projects, the sale of commodities or items fabricated under an award, and license fees and royalties on patents and copyrights.

4. SF424A, Section F: Other Budget Information

Indirect cost rates budgeted for the grantee and sub-recipients should be in accordance with the indirect cost agreement allowing such costs. The grantee must have a current and approved indirect cost rate agreement or an accepted cost allocation plan with DHHS or another Federal agency in order to claim reimbursement for indirect costs.

B. Detailed Budget and Budget Justification

Provide budget information that includes further detail by object class category. If there are budget items for which costs are shared with other federal or non-federal programs, the basis for the allocation of costs should be explained. A budget and budget narrative justification should be submitted for the upcoming year of the project that is detailed, reasonable, adequate, cost efficient, and that is derived from the proposed work plan. Sufficient detail should be provided so that the reviewer is able to determine the adequacy and appropriateness of budgeted items related to the proposed activities. From

the detailed budget and the budget narrative justification, the reviewer should be able to assess how the budget relates directly to the goals and objectives in the proposed work plan.

The following level of detail should be provided:

1. Personnel and Fringe Benefits

- a. Identify each staff position
- b. Provide the names of each staff person identified for each position and the annual salary, number of months and percentage of time allotted to the project. If a key position is vacant, include the anticipated hiring date.
- c. Provide a listing of all remaining filled and vacant positions, percentage of time allocated to the project, number of months, and projected salaries.
- d. Itemize the components that comprise the fringe benefits rate (e.g., health insurance, FICA, life insurance, retirement plan, etc.).

2. Travel

Identify the purposes of travel. Costs can be aggregated by category/purpose, numbers of staff and trips (e.g., project director meetings, site evaluations, training). Costs for each category/purpose should be provided. Remember that you are required to budget travel for staff to attend the annual OAH grantee conference and 3 regional trainings each year. The specific travel requirements are included in the original FOA.

3. Equipment

List only those equipment items costing \$5,000 or more per unit. Items costing less than \$5,000 can be aggregated by category (e.g., medical equipment, office equipment, etc.). However, adequate detail must be provided for assessment of expenditures as they relate to the proposed project.

4. Supplies

Categorize supplies according to type, such as office supplies, training materials, etc.

5. Contractual

List all sub-recipients/delegate agencies and/or contract providers and the amount of OAH funds and non-OAH resources allocated/contributed for each. Provide an itemized budget with a detailed justification for the costs associated with each contract.

6. Other

Itemize all costs in this category and explain each in sufficient detail to enable determinations for whether each cost is allowable. In most cases, consultant costs for technical assistance, legal fees, rent, utilities, insurance, printing, dues, subscriptions, and audit related costs would fall under this category.

7. Indirect Costs

Grantees must have a current and approved indirect cost rate agreement or an accepted cost allocation plan with HHS or other Federal agency in order to claim indirect reimbursement costs. Provide an explanation of the calculation of indirect costs that includes the rate, the base, how the base is calculated, and the total amount. Identify the amount of indirect cost charged to the Federal share of the budget.

V. APPENDICES

Supporting documents that add value or clarity to the information presented in the progress report or work plan should be included in the appendices. Materials included in the appendices should present information clearly and succinctly.

PART FOUR: EXHIBIT INFORMATION AND SAMPLE FORMATS

EXHIBIT A. EXAMPLE SIX-MONTH PROGRESS REPORT FORMAT

EXHIBIT B. EXAMPLE WORK PLAN FORMAT #1

EXHIBIT C: EXAMPLE WORK PLAN FORMAT #2

EXHIBIT A - Six-Month Progress Report

Name of Grantee

Grant #:

September 1, 2010 – March 1, 2011 (six months)

Goal:		
Objective:	<p>In Progress</p> <p>Met</p> <p>Unmet</p>	<p>Provide a brief description of the accomplishments, barriers encountered, populations served, activities undertaken and the collaborative partners involved in working toward the objective. Document any outcomes that are a result of your OAH-funded activities. Provide a justification for any objectives that are not currently either in progress or met.</p>
Activity:	<p>In Progress</p> <p>Met</p> <p>Unmet</p>	<p>Describe the activities that have taken place to date and any barriers encountered. Document any outcomes that are a result of your OAH-funded activities. Provide a justification for any redirection of activities (i.e. unmet, revised).</p>
Activity:	<p>In Progress</p> <p>Met</p> <p>Unmet</p>	<p>Describe the activities that have taken place to date and any barriers encountered. Document any outcomes that are a result of your OAH-funded activities. Provide a justification for any redirection of activities (i.e. unmet, revised).</p>
Activity:	<p>In Progress</p> <p>Met</p> <p>Unmet</p>	<p>Describe the activities that have taken place to date and any barriers encountered. Document any outcomes that are a result of your OAH-funded activities. Provide a justification for any redirection of activities (i.e. unmet, revised).</p>

EXHIBIT A - Six-Month Progress Report – p. 2

Additional Narrative

Report on any other significant project activities, accomplishments, setbacks or modifications (e.g. change in key staff, change in scope) that have occurred in the current budget period and were not part of the program work plan. These should include legislative and/or judicial actions impacting the program, as well as agency events.

EXHIBIT B – Work plan Example
September 1, 2011 – August 31, 2012

Grantee Name _____

Funds Requested _____

<i>Goal I:</i>		
<i>Year 1 Objective 1:</i>		
<i>Rationale for Objective 1:</i>		
Measures of Accomplishment for Objective 1: a. b. c.		
<i>Activities in support of Objective 1:</i> a. b. c.	<i>Person/agency responsible for Accomplishing Activities.</i> a. b. c.	<i>Activity Timeline.</i> a. b. c.

Work plan Instructions

- 1) **Name:** Name of the grantee organization.
- 2) **Funds Requested:** Funds requested for project period.
- 3) **Goal 1:** A broad statement of program purpose which describes the expected long-term effects of a program. Goals should address the program's effect in reducing a health problem and identify the target population to be affected. Although only Goal I is shown as an example in the suggested workplan format, you should include all programmatic goals in your workplan.
- 4) **Year 1 Objective 1:** A statement describing the results to be achieved and the manner in which these results will be achieved. Objectives should be **SMART**, that is, **S**pecific, **M**easurable, **A**chievable, **R**ealistic, and **T**ime-phased. **Specific** objectives include *who* will be targeted and *what* will be accomplished; **measurable** objectives include *how much* change is expected specifically enough that achievement of the objective can be measured through counting or through documenting change or completion; **achievable** objectives can be realistically accomplished given existing resources and constraints; **realistic** objectives address the scope of the problem and reasonable programmatic steps; and **time-phased** objectives provide a time line indicating when the objective will be measured or a time by which the objective will be met. Although we only include two objectives, you should list all objectives that support each goal in your workplan.
- 5) **Rationale for the Objective:** why you think the objective will contribute to accomplishing the goal. The objective should relate to the goal and should link to outcomes on the logic model leading to the desired outcomes. In addition, you may provide context that shows why this objective is necessary given your program's resources or constraints.
- 6) **Activities** - describe anticipated events that will take place as part of your program in support of the objective. Although we include space for only a few activities in the workplan format for each objective, you should list all activities for each objective.
- 7) **Timeline for Activities** – identify when the activity will be implemented.
- 8) **Measurement of Accomplishment** – these are the quantifiable criteria that describe how you know if you succeeded in accomplishing an objective. Measures might include target numbers or they might include quantifiable changes or completion of an activity.
- 9) **Person Responsible** - who is most responsible for ensuring that each activity is accomplished.

EXHIBIT C - Workplan Example
September 1, 2011 – August 31, 2012

Grantee Name _____

Funds Requested _____

Goal I: Goal Statement															
Objectives	Activities	Timeline												Measures of Accomplishment	Person Responsible
		S	O	N	D	J	F	M	A	M	J	J	A		
Objective 1: Objective Rationale:	Activity 1:														
	Activity 2:														
	Activity 3:														
	Activity 4:														
	Activity 5:														
Objective 2: Objective Rationale:	Activity 1:														
	Activity 2:														
	Activity 3:														

Workplan Instructions

- 10) **Name:** Name of the grantee organization.
- 11) **Funds Requested:** Funds requested for project period.
- 12) **Goal 1:** A broad statement of program purpose which describes the expected long-term effects of a program. Goals should address the program's effect in reducing a health problem and identify the target population to be affected. Although only Goal I is shown as an example in the suggested workplan format, you should include all programmatic goals in your workplan.
- 13) **Year 1 Objective 1:** A statement describing the results to be achieved and the manner in which these results will be achieved. Objectives should be **SMART**, that is, **S**pecific, **M**easurable, **A**chievable, **R**ealistic, and **T**ime-phased. **Specific** objectives include *who* will be targeted and *what* will be accomplished; **measurable** objectives include *how much* change is expected specifically enough that achievement of the objective can be measured through counting or through documenting change or completion; **achievable** objectives can be realistically accomplished given existing resources and constraints; **realistic** objectives address the scope of the problem and reasonable programmatic steps; and **time-phased** objectives provide a time line indicating when the objective will be measured or a time by which the objective will be met. Although we only include two objectives, you should list all objectives that support each goal in your workplan.
- 14) **Rationale for the Objective:** why you think the objective will contribute to accomplishing the goal. The objective should relate to the goal and should link to outcomes on the logic model leading to the desired outcomes. In addition, you may provide context that shows why this objective is necessary given your program's resources or constraints.
- 15) **Activities** - describe anticipated events that will take place as part of your program in support of the objective. Although we include space for only a few activities in the workplan format for each objective, you should list all activities for each objective.
- 16) **Timeline for Activities** – identify when the activity will be implemented.
- 17) **Measurement of Accomplishment** – these are the quantifiable criteria that describe how you know if you succeeded in accomplishing an objective. Measures might include target numbers or they might include quantifiable changes or completion of an activity.
- 18) **Person Responsible** - who is most responsible for ensuring that each activity is accomplished.

