

OFFICE OF ADOLESCENT HEALTH

GUIDANCE FOR PREPARING THE YEAR FIVE NON-COMPETING CONTINUATION GRANT APPLICATION

Teenage Pregnancy Prevention Grantees



Applications Due: May 31, 2014

Office of Adolescent Health

GUIDANCE FOR PREPARING THE YEAR FIVE NON-COMPETING CONTINUATION
GRANT APPLICATION

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CONTINUATION GRANT APPLICATION

PART ONE: GENERAL INSTRUCTIONS

Eligibility

These instructions are applicable to existing Office of Adolescent Health Teenage Pregnancy Prevention grantees and provide guidance on the preparation and submission of the Year Five non-competing continuation grant application. This continuation announcement is subject to the appropriation of funds. The actual amount available will not be determined until enactment of the FY 2014 federal budget.

Purpose

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

- 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 the Year Five 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 Grants Management Specialist. The application must provide 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. Carryover requests should not be included in non-competing continuation grant applications. Detailed information on the progress in accomplishing goals and objectives during the first six months of the current budget year, TPP performance measure data, and evaluation progress reporting should also not be included in this report. The first six months of progress, TPP performance measure data, and the evaluation progress report should be reported on March 31, 2014, which is one month after the first reporting period for Year Four.

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. Applicants will receive notification from GrantSolutions.gov via email confirmation receipt. Hard copy application submissions are no longer accepted by the OASH Office of Grants Management.

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 Saturday, May 31, 2014 at 11:00 p.m. Eastern Standard Time. Applications submitted electronically to GrantSolutions.gov 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 App_Support@ACF.HHS.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

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. Electronic non-competing continuation grant application submissions must be submitted no later than 11:00 p.m. Eastern Standard Time May 31, 2014. Grantees are now required to print out, sign and upload page three (3) of the SF 424 Application for Federal assistance, page two (2) of SF 424B Assurance form and SF –LLL Disclosure of Lobbying Activities. Only the signature page is required when uploading with original signature.

Non-competing continuation grant applications will not be considered valid until all electronic application components 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 Standard 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.

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

PART THREE: NON-COMPETING APPLICATION CONTENT

The non-competing continuation grant application should include the required OASH grants management forms, a table of contents, 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 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. Non-competing continuation application narratives are evaluated on the basis of substance, not length. Cross-referencing should be used rather than repetition.

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 http://www.grantsolutions.gov - Upload pg 3 with signature
SF-424A, Budget Information Non-Construction Program	✓	Non-competing continuation application kit at http://www.grantsolutions.gov
SF-424B, Assurances Non-Construction Program	✓	Non-competing continuation application kit at http://www.grantsolutions.gov - Upload pg 2 with signature
SF-LLL, Disclosure of Lobbying Activities	✓	Non-competing continuation application kit at http://www.grantsolutions.gov - Upload with signature

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. THE YEAR FIVE WORK PLAN

The work plan for Year Five (September 1, 2014 – August 31, 2015) 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 five 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/grants/closed-grants.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). More information on writing SMART objectives is available at: <http://www.cdc.gov/healthyyouth/evaluation/pdf/brief3b.pdf>.

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.

Exhibit E provides a checklist of key information that should be included in the work plan. The items listed in the checklist represent required activities as stated in the funding announcement. Ultimately, the work plan should be specific to your program and should provide a thorough description of the objectives and activities planned for year four. The checklist provides guidance on the minimum activities that should be included in the work plan, but is not exhaustive.

See **Exhibits A & B** for examples of Work plan Templates.

See **Exhibit D** for an example of a partially completed Work plan.

See **Exhibit E** for the Continuation Application Checklist with a list of key information to include in the work plan.

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 and align with 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 <http://www.grantsolutions.gov>. The guidance below provides supplemental information to these instructions.

1. SF 424A, Section A: Budget Summary

Columns – Federal (c.) and Non-Federal (d) must be completed by all grantees to report the estimated amount of funds for each category which will remain unobligated at the end of the current year two grant funding period. In column (e.) enter total Federal amount for year 3. If applicable, in column (f.) enter the total Non-Federal in-kind or required matching contribution amount for year 3.

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 and Column 5-Total Federal.

The budget categories/object class categories on the 424A are to reflect the grantee's total proposed Federal 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/Matching 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 itemized 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 to include locations, names of conference/training if available. 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 up to three (3) staff to attend at least two (2) face to face meetings in the Washington, DC area.

3. Equipment

List only those equipment items costing \$5,000 or more per unit.

4. Supplies

Categorize supplies according to type, such as office supplies, training materials, etc. List items under supplies with cost less than \$5,000 per unit.

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. From the itemized budget, the reviewer should be able to assess how the total amount requested for the contract was determined.

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 work plan or budget should be included in the appendices. Materials included in the appendices should present information clearly and succinctly. Extensive appendices are not required.

PART FOUR: EXHIBIT INFORMATION AND SAMPLE FORMATS

EXHIBIT A: EXAMPLE WORK PLAN TEMPLATE #1

EXHIBIT B: EXAMPLE WORK PLAN TEMPLATE #2

EXHIBIT C: WORK PLAN INSTRUCTIONS

EXHIBIT D: EXAMPLE WORK PLAN PARTIALLY COMPLETE

EXHIBIT E: CONTINUATION APPLICATION CHECKLIST FOR TPP GRANTEEES

EXHIBIT A – Example Work plan Template #1

September 1, 2014 – August 31, 2015

Grantee Name _____

Funds Requested _____

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

EXHIBIT B – Example Work plan Template #2

September 1, 2014 – August 31, 2015

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:	Activity 1:														
	Activity 2:														
	Activity 3:														
Objective Rationale:	Activity 4:														
	Activity 5:														
Objective 2:	Activity 1:														
	Activity 2:														
Objective Rationale:	Activity 3:														

EXHIBIT 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 work plan format, you should include all programmatic goals in your work plan.
- 4) **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 one-two objectives in the example work plan template, you should list all objectives that support each goal in your work plan.
- 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 only include a few activities in the example work plan template 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 D – Example Work plan
September 1, 2014 – August 31, 2015

Goal I: Replicate xxx evidence-based program in 60 sites across xxx County.															
Objectives	Activities	Timeline											Measures of Accomplishment	Person Responsible	
		S	O	N	D	J	F	M	A	M	J	J			A
<p><u>Objective 1:</u> By August 31, 2014 train all facilitators in the xxx evidence-based program model.</p> <p><u>Objective Rationale:</u> All facilitators need to be trained in the evidence-based program to replicate the program with fidelity.</p>	<p><u>Activity 1:</u> Research organizations available to provide training on the evidence-based program</p>		X											Potential training organizations identified	Project Director
	<p><u>Activity 2:</u> Secure contract with organization selected to conduct training</p>			X										Written contract in place with organization	Project Director
	<p><u>Activity 3:</u> Confirm training dates and locations for four 3-day trainings</p>				X	X								Training dates and locations	Training Coordinator
	<p><u>Activity 4:</u> Collect registration information from 60 facilitators</p>						X							Completed registration forms from 60 facilitators	Training Coordinator
	<p><u>Activity 5:</u> Conduct four 3-day trainings for facilitators</p>							X	X	X				Training agendas, sign-in sheets, evaluation forms	Training Coordinator & Contractor

EXHIBIT E: CONTINUATION APPLICATION CHECKLIST FOR TPP GRANTEES

Instructions:

The content for this checklist is based on information noted in the Funding Opportunity Announcement (FOA) and is not meant to be exhaustive of everything that a grantee will want to include in its progress report, work plan, and budget. A grantee's work plan and budget should describe the plans for the grantee's overall program and may include objectives and activities in addition to those outlined in the checklist below.

Year Five Work Plan

- Majority of objectives SMART
- Activities align with objectives and are consistent with previous year work plans
- Timeline for activities is appropriate
- Includes project management activity details
 - Recruitment and retention of staff
 - Staff training and professional development
 - Activities aimed at monitoring implementation partners and/or contractors to assess progress in meeting goals and objectives
- Plans to implement the program with fidelity in all sites (implementation plans due prior to implementation)
- Plans to recruit and retain program participants
- Activities to ensure all materials are medically accurate
- Activities to monitor implementation with fidelity
- Plans to collect, report, and use performance measure data to make continuous program improvements
- Plans to market the program
- Plans to build, enhance and sustain partnerships to support the program
- Plans to provide training and professional development for partners and/or facilitators
- Plans to disseminate information about the program (presentations, publications, etc)
- Activities related to any approved add-on activities
- Plans to document the program model (*Tier 2 only*) – core components, logic model, curriculum manual, training manual, adaptation guidance
- Program evaluation plans

- Evaluation activities aligned with approved evaluation plan (*Tier 1 C/D & Tier 2*)
- Activities related to participation in the Federal evaluation (*if applicable*)
- Activities focused on program sustainability

Year Five Budget

- Detailed budget narrative with cost breakdown for each line item
 - Cost breakdown provided for all contracts
 - Provide the names of conferences, trainings, speakers, and other relevant details, if available.
- Budget aligns with work plan
- Includes funds for 3 people to attend at least 2 meetings in the Washington, DC area
- Indirect cost rate agreement on file
- Plans for cost sharing (*not required*)