Health Care Innovation Awards

Round Two: Submitting an Application: Technical Assistance

July 24, 2013
Agenda

• Health Care Innovation Awards Round Two—Key Dates

• Office of Acquisition and Grants Management

• Grants.gov

• Next Steps
<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 14, 2013</td>
<td>Application templates and user materials were available at <a href="http://innovation.cms.gov/initiatives/Health-Care-Innovation-Awards/Round-2.html">http://innovation.cms.gov/initiatives/Health-Care-Innovation-Awards/Round-2.html</a></td>
</tr>
<tr>
<td>August 15, 2013</td>
<td>Application due by 3:00 PM EDT</td>
</tr>
<tr>
<td>Early 2014</td>
<td>Anticipated award announcements</td>
</tr>
</tbody>
</table>
• Health Care Innovation Awards Round Two—Key Dates

• Office of Acquisition and Grants Management (OAGM)

• Grants.gov

• Next Steps
Collaboration in the Awards Process
Roles and Responsibilities
Key Roles

Defined by the HHS Awarding Agency Grants Administration Manual

• Grants Management Officer (GMO) – OAGM
• Grants Management Specialist (GMS) – OAGM
• Approving Official (AO) – CMS
• Project or Program Officer (PO) – CMS Innovation Center
• Authorized Organizational Representative (AOR) – Grantee Organization
• Project Director (PI/PD) – Grantee Organization
Reasons for Defining Roles

- To explain the differences between expertise and primary areas of focus (technical versus fiscal management)
- To ensure efficient and effective management of grants
- To monitor program objectives and outcomes
Grants Management Officer/Specialist Roles:

• Responsible for the fiscal, grants policy, and non-programmatic areas of grant process
• Interprets and ensures compliance with statutory, regulatory, and administrative policies
• Serves as counterpart to the authorized institutional official at the recipient organization
• Only the Grants Management Officer (GMO) - official or delegated may authorize funds on behalf of the Federal government
Grants Management Officer/Specialist Roles
Cont’d…

• Determines appropriate award instrument (grant, cooperative agreement, contract)
• Signs all official Notices of Award (including amendments)
• Establishes appropriate terms and conditions of award
• Establishes deadlines during award process
• Formally reviews and approves program announcements (Grants Management Specialist - GMO)
• Approves materials provided for reviewer training (Grants Management Specialist - GMO)
• Performs budget review/cost analysis of grant applications
Negotiates any required matching or sharing with applicants with the Innovation Center specialist.

Serves as the official point of contact for receiving and responding to correspondence and all required reports.

Maintains official grant files.

Monitors grantee’s expenditures and progress as reported on the Financial Status Report SF-425.
CMS Approving Official

- Designated by CMS Chief Operating Officer (COO) to make decisions on behalf of program offices
- Approves Funding Opportunity Announcements
- Recommends funding based on rank order lists (new, supplemental, non-competing etc.)
- Determines objective review approach
- Oversees review and award process
CMS Innovation Center
Project/Program Officer

• Defines program objectives and develops program announcements based on applicable legislation.
• Establishes review criteria
• Provides guidance to reviewers regarding program policies, goals, and objectives
• Provides guidance to recipients on technical (programmatic) matters
• Identifies potential issues in grantee’s progress
• Evaluates changes in project scope
• Reviews progress reports
• Provides programmatic input on prior approval requests (extensions, re-budgeting, changes in scope)
• Conducts site visits as deemed necessary in collaboration with the Grants Management Officer (GMO)
## Budget Information - Non Construction Programs

### Section A - Budget Summary

<table>
<thead>
<tr>
<th>Grant Program Function or Activity</th>
<th>Catalog of Federal Domestic Assistance Number</th>
<th>Estimated Unobligated Funds</th>
<th>New or Revised Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(a)</td>
<td>(b)</td>
<td>(c)</td>
</tr>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Totals</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section B - Budget Categories

<table>
<thead>
<tr>
<th>Object Class Categories</th>
<th>Grant Program, Function or Activity</th>
<th>Total (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(1)</td>
<td>(2)</td>
</tr>
<tr>
<td>a. Personnel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Fringe Benefits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Travel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Supplies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Contractual</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. Construction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>h. Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>i. Total Direct Charges (sum of 6a-6h)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>j. Indirect Charges</td>
<td></td>
<td></td>
</tr>
<tr>
<td>k. Totals (sum of 6i-6j)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Section C - Non-Federal Resources

<table>
<thead>
<tr>
<th>(a) Grant Program</th>
<th>(b) Applicant</th>
<th>(c) State</th>
<th>(d) Other Sources</th>
<th>(e) Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
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<td>10.</td>
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<td>$0</td>
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<tr>
<td>11.</td>
<td></td>
<td></td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td><strong>12. Total</strong></td>
<td>$0</td>
<td>$0</td>
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<td>$0</td>
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</table>

### Section D - Forecasted Cash Needs

<table>
<thead>
<tr>
<th></th>
<th>Total for 1st Year</th>
<th>1st Quarter</th>
<th>2nd Quarter</th>
<th>3rd Quarter</th>
<th>4th quarter</th>
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<tbody>
<tr>
<td>13. Federal</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. Non-Federal</td>
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<td></td>
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<td></td>
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<tr>
<td><strong>15. Total</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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### Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

<table>
<thead>
<tr>
<th>(a) Grant Program</th>
<th>(b) First</th>
<th>(c) Second</th>
<th>(d) Third</th>
<th>(e) Fourth</th>
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</thead>
<tbody>
<tr>
<td>16.</td>
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<tr>
<td>17.</td>
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<tr>
<td>18.</td>
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<tr>
<td>19.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>20. Total</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

### Section F - Other Budget Information

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>21. Direct Charges</td>
<td>22. Indirect Charges</td>
</tr>
<tr>
<td>23. Remarks</td>
<td></td>
</tr>
</tbody>
</table>
The SF 424A has six sections:

A – Budget Summary
B – Budget Categories
C – Non-Federal Resources
D – Forecasted Cash Needs
E – Budget Estimates of Federal Funds Needed for Balance of the Project
F – Other Budget Information
The budget narrative should explain in detail the costs associated with each budget cost category as it relates to the implementation of the proposed statement of work and the achievement of grant goals and deliverables.
Agenda

• Health Care Innovation Awards Round Two—Key Dates

• Office of Acquisition and Grants Management

• Grants.gov

• Next Steps
Grants.gov Overview for CMS-1C1-14-001

Wednesday, July 24, 2013
Getting Registered
Get Registered - Dun & Bradstreet (DNB) and the System for Award Management (SAM)

• Register with Dun & Bradstreet at http://www.dnb.com
  • Requires TIN from IRS and organization information
  • You will be issued a DUNS number
  • Takes 3 – 5 business days

Upon receipt use the DUNS to register with the System for Award Management (SAM) at www.SAM.gov

• Establish the following:
  • eBIZ POC – Individual oversees all activities for organization within Grants.gov and grants permissions to Authorized Organization Representatives
  • MPIN – Marketing Partner Identification Number
  • Takes 3 – 5 business days
Organization data, eBIZ POC information, and MPIN are electronically transferred from SAM to Grants.gov.

The organization is set up in Grants.gov and individuals within the organization are now able to register with Grants.gov.

**NOTE:** EBiz POC must renew SAM registration annually.
Get Registered -
Enter your Registration Information

APPLICANT REGISTRATION
Please enter your information below. Required fields are denoted with an asterisk (*).

- **First Name:** Grant
- **Last Name:** Applicant
- **DOB:** 01/01/1990
- **Job Title:** Organization Member
- **Address 1:** 123 Grant Search Way
- **City:** Washington
- **State:** District of Columbia
- **Zip Code:** 20001
- **Telephone:** 123-456-7890
- **Email:** GrantsgovApp@aol.com
- **Secret Question:** Where can you find grants from all federal agencies?
- **Secret Answer:** Grants.gov

Continue

Warning Notice
This is a U.S. Government computer system, which may be accessed and used only for authorized government business by authorized personnel. Unauthorized access or use of this computer system may subject violators to criminal, civil, and/or administrative action.

All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Such information includes sensitive data encrypted to comply with confidentiality and privacy requirements. Access or use of this computer system by any person, whether authorized or unauthorized, constitutes consent to these terms.
Get Registered – Completing Your Registration

• AOR Authorization by your eBIZ POC
  – The eBiz POC at your organization will receive an email notifying him/her of your registration.
  – The eBiz POC must login to Grants.gov to confirm you as an AOR.
  – You will be unable to submit a grant application unless you are confirmed as an AOR by your eBiz POC.

• Track AOR Status
  – At any time, you can track your AOR status by logging in with your username and password.
  – You will receive a confirmation email notifying you that you’ve been authorized as an AOR for your organization.
Download Application Package & Instructions
The Synopsis contains high level information about the funding opportunity such as:
- Funding Opportunity Number
- Open/Close date
- Program Funding Amount
- Number of Awards
- Program Contact Information
Full Announcement Tab = Other Supporting Documents/Attachments

- Click on the Full Announcement to access/download Other Supporting Documents.
Click on the following link to download the full announcement:

<table>
<thead>
<tr>
<th>Announcement Group</th>
<th>Description</th>
<th>File Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Announcement</td>
<td>HCIA II FOA</td>
<td>PDF</td>
</tr>
<tr>
<td>Full Announcement</td>
<td>Zip of All Attachments</td>
<td>ZIP</td>
</tr>
<tr>
<td>Other Supporting Documents - Actuarial Review Template</td>
<td>Actuarial Review Template (version 06/13/2013)</td>
<td>PDF</td>
</tr>
<tr>
<td>Other Supporting Documents - Actuarial Review Template</td>
<td>Zip of All Attachments</td>
<td>ZIP</td>
</tr>
<tr>
<td>Other Supporting Documents - Executive Overview Template</td>
<td>Executive Overview Template (version 06/13/2013)</td>
<td>DOCX</td>
</tr>
<tr>
<td>Other Supporting Documents - Executive Overview Template</td>
<td>Zip of All Attachments</td>
<td>ZIP</td>
</tr>
<tr>
<td>Other Supporting Documents - Financial Plan Template</td>
<td>Financial Plan Template (version 06/13/2013)</td>
<td>XLSX</td>
</tr>
<tr>
<td>Other Supporting Documents - Financial Plan Template</td>
<td>Zip of All Attachments</td>
<td>ZIP</td>
</tr>
</tbody>
</table>

• Other Supporting Documents
Download Application Package/Instructions

• Click on the Application Tab to download the Application (forms) Package and Application Instructions
Download Application Package/Instructions

Download the Application Package and Instructions (cont.)

• Read the instructions to insure that you have the correct Adobe Reader
• Click on download link in order to access the Application Package and the Application Instructions

SELECTED GRANT APPLICATIONS FOR DOWNLOAD

Download the application and its instructions by selecting the corresponding download link. Save these files to your computer for future reference and use. You do not need Internet access to read the instructions or to complete the application once you save them to your computer.

READ BELOW BEFORE YOU APPLY FOR THIS GRANT!

Before you can view and complete an application package, you MUST have Adobe Reader installed. Application packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader.

If more than one person is working on the application package, ALL applicants must be using the same software version.

Click here to download the required Adobe Reader if you do not have it installed already.

Additional Resources:
• Sign-up for Grants.gov Updates for the latest issues and news.
• Download Adobe Reader for free.
• Visit Help for FAQs and more information on Applying for grants.

Below is a list of the application(s) currently available for the CFDA and/or Funding Opportunity Number that you entered.

To download the application instructions or package, click the corresponding download link. You will then be able to save the files on your computer for future reference and use.

<table>
<thead>
<tr>
<th>CFDA</th>
<th>Opportunity ID</th>
<th>Competition ID</th>
<th>Competition Title</th>
<th>Agency</th>
<th>Instructions and Application</th>
</tr>
</thead>
<tbody>
<tr>
<td>93.610</td>
<td>CMS-1C1-14-001</td>
<td>CMS-1C1-14-001-017996</td>
<td>Health Care Innovation Awards Round Two</td>
<td>Centers for Medicare &amp; Medicaid Services</td>
<td>download</td>
</tr>
</tbody>
</table>
Download Application Package/ Instructions

You have chosen to download the application for the following opportunity:

CFDA Number: 93.610: Health Care Innovation Awards (HCIA)
Opportunity Number: CMS-1C1-14-001: Health Care Innovation Awards Round Two
Competition ID: CMS-1C1-14-001-017996
Competition Title: Health Care Innovation Awards Round Two
Agency: Centers for Medicare & Medicaid Services
Opening Date: 05/15/2013
Closing Date: 08/15/2013

To download an application, you will need to submit an email address so that you can be notified of any changes to the application before the closing date. Your e-mail address will allow us to e-mail you in the event this opportunity is changed and republished on Grants.gov before its closing date.

Email: [ ] Confirm Email: [ ]

☑ Would you like to receive synopsis modification notices as well?

Submit ☐ No, I do not wish to provide my email address

• Enter your email address and click submit here if you wish to be notified of any changes to the funding opportunity (highly recommended)
• If you do not wish to provide your email address click the box at the bottom of this page to the right of the submit button.
DOWNLOAD OPPORTUNITY INSTRUCTIONS AND APPLICATION

You have chosen to download the application for the following opportunity:

CFDA Number: 93.610: Health Care Innovation Awards (HCIA)
Opportunity Number: CMS-1C1-14-001: Health Care Innovation Awards Round Two
Competition ID: CMS-1C1-14-001-017996
Competition Title: Health Care Innovation Awards Round Two
Agency: Centers for Medicare & Medicaid Services
Opening Date: 05/15/2013
Closing Date: 08/15/2013

Since you did not subscribe, you will not be notified of any future changes to this opportunity. If you would like to receive notifications, please click here.

Download the instructions and application by selecting the download links below. While the instructions or application files may open directly, you may save the files to your computer for future reference and use. You do not need Internet access to read the instructions or the application once you save them to your computer.

1. Download Application Instructions
2. Download Application Package

• Right-click on “Download Application Instructions” and then “Save As” to your computer
• Repeat the same action with “Download Application Package”
Navigating the Application Package
The grant application is a PDF file composed of forms
- Requires Adobe Reader which is a free download from Adobe.com
- Can be saved to your computer

The application cover page has many components
- Information on the funding opportunity
- Closing date
- Agency contact information
- Forms to be filled out
SF-424

- Fields in yellow are mandatory and must be filled in.
- Error messages will pop-up if a mandatory field is not filled in.
- If a mandatory field is not filled in, then you will be unable to submit the application.
Use this form to submit the required supporting document templates (Executive Overview, Operational Plan, Financial Plan, Actuarial Review) found under the “Full Announcement” Section.

Please note, even though the Other Attachments form is identified as optional, you must use this form to upload the required supporting document templates.

Other Supporting Documents

Other Attachments Form

- Must use this form to submit Other Supporting Documents found under “Full Announcement” Section
Supplemental Forms should retain their original file name when uploading.

Allowable Attachment File Name Characters:
- A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period (.)
- Attachment filenames containing any characters other than the ones listed above will result in application rejections.

Do not use copy and paste feature when creating file names.
Submitting Your Application Package
Save, Check, and Submit Your Application

Buttons at the center of the Application Cover Page allow you to:
- Save
- Check Package for Errors

Once your application is free of any of errors, the “Save & Submit” button will become activated.

Make sure you are connected to the Internet when ready to submit.
Upon clicking Save & Submit, you will be prompted to enter your Grants.gov user name and password.

If you are not authorized as an AOR for your organization, you will receive an error message and will be unable to submit your application.
Sign and Submit Screen

- You’ll be prompted again to “Sign and Submit”.
- This serves as the electronic signature for your application.
A confirmation screen will have your Grants.gov Tracking Number

- Use this number to track your application

- The date/time stamp serves as the official time of submission

- You will also receive emails indicating the status of your application
Email Confirmations

1. Receipt Email
   - Grants.gov E-mail Verifying Receipt *(with Track My Application URL)*
   - Your application has been received by Grants.gov *(NOTE: Application must still go through validation process)*

2. Validation or Rejection Email
   - Grants.gov E-mail Verifying Successful Submission
   - **OR** Rejection Due to Errors with a description of issue

3. Transmission to Agency
   - The Agency has picked up your application from Grants.gov
Track My Application

- Track your application status by entering the Grant Tracking Number
- Status information:
  - Received
  - Validated or Rejected
  - Retrieved by Agency

Track Grants.gov submissions by entering up to five Grants.gov tracking numbers, one per line and click the "Track" button below.
Common Reasons for Rejections

• Waited until deadline date or thereafter to submit
• Incomplete registration
• AOR not authorized by EBiz POC to submit
• SAM Account Expired
• Incorrect DUNS entered on SF424 Face Page
• Applicant did not include ALL mandatory forms in submission
• Applicant used special characters in attachment file name(s)
Tips for Applicants

Grant Proposal Tips

• **Register and Submit Early**
• Thoroughly read and follow all of the instructions provided by the agency
• Include Sufficient Program and Budget Details
• Strongly recommend filling out optional forms in the app package

Grants.gov Application Tips

• Limit Application File Size/ File Name Characters (50 or less)
• Avoid Special Characters in File Names ($, %, &, *, etc.)
• Use Correct DUNS Number in the SF-424 Cover Page
• Make sure you have Grants.gov compatible software (Adobe Reader)
Contact Center

- Support available 24/7
- Email: support@grants.gov
- Toll-Free Phone Number: 1-800-518-4726
- International Callers 1-606-545-503
- Self-help iPortal: (http://grants.gov/iportal)

Additional Resources

- http://www07.grants.gov/applicants/app_help_reso.jsp
- FAQs
- User Guides
Next Steps

• Additional information regarding the Innovation Awards will be posted on [http://innovation.cms.gov](http://innovation.cms.gov)

• More Questions? Please Email [InnovationAwards@cms.hhs.gov](mailto:InnovationAwards@cms.hhs.gov)
Thank You!

Please use the webinar chat feature to submit questions