

FY2022 NOFO Technical Assistance Webinar: Ensuring Research Integrity – Research, Development, and Demonstration *IR-ORI-22-001*

Tuesday, Jan 18, 2022



OASH

Office of the
Assistant Secretary
for Health

Webinar Agenda

- Programmatic Overview of the Notice of Funding Opportunity (NOFO)
- Grants and Acquisitions Management
 - Competitive Application Requirements and Process
- Question and Answer Session

Programmatic Overview

ORI's Mission:

- Promote Research Integrity
- Prevent Research Misconduct
- Protect Science, Public Health, and Public Health Service (PHS) Funds

Programmatic Overview (continued)

- ORI's Research, Development, and Demonstration Grant Program supports projects that -
 - 1) undertake research, development, and demonstration activities to advance the evolving field of research integrity,
 - 2) develop innovative practical approaches, tools, and/or resources, and
 - 3) produce tangible outcomes related to ensuring research integrity and compliance with 42 C.F.R. Part 93.

Purpose (Executive Summary, page 1)

This notice solicits applications for projects that will:

- 1) *conduct research*, on one of the four focus areas, related to ensuring research integrity and compliance with 42 C.F.R. Part 93;
- 2) *develop innovative approaches/tools/resources* based on the results of this research; and
- 3) *demonstrate impact* and/or effectiveness of these approaches/tools/resources.

Purpose (Executive Summary, page 1-2, continued)

Projects that will improve practices related to 1 of 4 focus areas:

- 1) transparency in the conduct or reporting of research;
- 2) effective communication between authors and/or collaborators to avoid, mitigate, and resolve authorship/collaborator disputes and/or issues related to research integrity;
- 3) handling allegations of research misconduct under 42 C.F.R. Part 93; or
- 4) interventions to address the problem of a research culture that negatively impacts the integrity, conduct, quality, and reliability of research.

Award Information (Section D, pages 9-10)

- **Type of Award:** Grant
- **Anticipated Number of Awards:** 3-6
- **Anticipated Start Date:** June 1, 2022
- **Award Amount** (Federal Funds + indirect costs): up to \$150,000 per budget period
 - Estimated Federal Funds Available: \$450,000
 - Estimated Period of Performance: Not to exceed 2 years
 - Anticipated Initial Budget Period Length: 12 months

Program Description - Expectations (Section B.2, pages 8-9)

ORI expects the awardee to

- a. Conduct research related to ensuring research integrity
- b. Develop innovative and practical approaches, tools, and/or resources
- c. Demonstrate the impact and/or effectiveness of the materials developed
- d. Disseminate the materials developed under the auspices of this grant

Program Description - Expectations (Section B.2.a, page 8)

- a. ORI expects you will conduct research on the development and implementation of practical approaches, tools, and/or resources that improve practices in *one or more* of the FY 2022 four focus areas related to ensuring research integrity and compliance with 42 C.F.R. Part 93.

Program Description - Expectations (Section B.2.a, page 8, continued)

- a. The research activities, and all other activities of the proposed project, will **concentrate on *at least 1 of 4 FY 2022 focus areas***:
- 1) transparency in the conduct or reporting of research;
 - 2) effective communication between authors and/or collaborators to avoid, mitigate, and resolve authorship/collaborator disputes and/or issues related to research integrity;
 - 3) handling allegations of research misconduct under 42 C.F.R. Part 93; or
 - 4) interventions to address research culture that negatively impacts the integrity, conduct, quality, and reliability of research.

Program Description - Expectations (Section B.2.b, page 8)

- b. Develop innovative and practical approaches, tools, resources that -**
- Contribute to researchers' and institutions' efforts to ensure the integrity and reliability of PHS-funded research and/or compliance with 42 C.F.R. Part 93.
 - Can be readily adapted for a specific research setting and/or discipline or used to help improve practices at the level of the stakeholder (i.e., individual researchers, research groups, research administrators, or research institutions).
 - Design materials with ease of use and implementation for the end user in mind.

Program Description - Expectation (Section B.2.c, page 9)

c. Demonstrate impact/effectiveness of developed materials

- Implement and evaluate developed materials to determine their
 1. ease with which they can be used by stakeholder(s),
 2. effectiveness in facilitating improved practices, and
 3. impact on research integrity and/or compliance with 42 C.F.R. Part 93.

- Revise materials as needed to address issues that may prevent effective implementation by the relevant stakeholders.

Program Description - Expectations (Section B.2.d, page 9)

d. Disseminate materials developed under this grant

- Make researchers, research administrators, and research institutions aware of the developed materials and provide free access to the materials
- Develop and implement a comprehensive, time-framed dissemination plan to communicate key findings to stakeholders, the public, and all who might be interested in the results
- Include a description of the method(s) used to disseminate the project's findings

Project Narrative Content (Section F.3.a, pages 14-19)

- 1) Project Description
- 2) Outcomes
- 3) Evaluation
- 4) Dissemination
- 5) Project Management
- 6) Environment and Organizational Capability

Project Narrative Content (Section F.3.a, pages 14-16)

- 1) **Project Description**
- 2) Outcomes
- 3) Evaluation
- 4) Dissemination
- 5) Project Management
- 6) Environment and Organizational Capability

Project Narrative Content - Project Description (Section F.3.a.1, pages 14 - 16)

- Explain the rationale for the proposed project.
- Describe the scope and breadth of the problem and critical barrier(s) to progress on the selected research integrity topic/focus area.
- Describe potential impacts on affected groups or populations (e.g., researchers, research administrators, Research Integrity Officers- RIOs).

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 2 of 7)

- State concisely the goals of the proposed research and summarize the expected outcome(s), including the impact that the results of the proposed research will exert on the research field(s) involved.
- List succinctly the specific, measurable, and time-framed objectives of the proposed project as they relate to the project goals.

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 3 of 7)

- Describe how the project will potentially affect the population(s) served, specific subgroups within those populations, and other interested stakeholders.
- Describe the overall strategy, activities, and methods you will use to accomplish the project goals. Include how the data will be collected, analyzed, and interpreted.

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 4 of 7)

- Describe *why* specific activities were selected:
 - Explain how the proposed activities will help achieve the project goals and outcomes.
 - Show why the overall approach is appropriate.
 - Present a clear connection between the focus area and the proposed activities.
- Describe any novel approaches or methods you intend to employ to achieve the project goals.
 - Reference existing approaches for the purpose of contrasting the novel approaches or methods you propose.

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 5 of 7)

- Provide descriptions of materials proposed for development or modification.
- List the anticipated, specific, and measurable outcomes of the project.
- Discuss potential problems, alternative strategies, and benchmarks for success. Note expected barriers and how your project will overcome them.

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 6 of 7)

- Describe *how technology will be used* to advance programs/services, provide training/technical assistance, disseminate information/products.
- Describe the *role/makeup of subrecipients* involved in tasks and show the level of effort each will provide.
- If project is in the early stages, describe strategies for the management of any high-risk aspects.

Project Narrative Content - Project Description (Section F.3.a.1, pages 14-16, continued 7 of 7)

- If applicable, describe and justify involvement of human subjects (45 C.F.R. Part 46) in the proposed work:
 - Subject population characteristics(e.g., number, age range, etc.)
 - Sampling plan, plan's justification, recruitment/retention strategies, inclusion/exclusion criteria
 - Data collected from human subjects
 - Who will have access to individually identifiable private-information
 - How the records/data will be collected, managed, protected
 - Subject recruitment plans, informed consent process, and if children are included describe the process for parental permission and child assent requirements

Project Narrative Content - Outcomes (Section F.3.a.2, pages 16-17)

- 1) Project Description
- 2) Outcomes**
- 3) Evaluation
- 4) Dissemination
- 5) Project Management
- 6) Environment and Organizational Capability

Project Narrative Content - Outcomes (Section F.3.a.2, pages 16-17)

- Specify the measurable outcome(s) that will result from your project. HHS/OASH will not fund any project that does not include measurable outcomes. A “measurable outcome” is an observable end-result that describes how an activity, event, resource, or approach benefits the intended audience. It demonstrates the “impact” of the activity, event, resource, or approach.
- In addition to discussion in the narrative, describe how you envision the project will benefit the field at large.

Project Narrative Content - Outcomes (Section F.3.a.2, pages 16-17, continued)

- Describe how you will report on the outcomes of the project.
- Keep the focus of this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported. Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited. In many cases, it is very appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project's design.

Project Narrative Content - Evaluation (Section F.3.a.3, page 17)

- 1) Project Description
- 2) Outcomes
- 3) Evaluation**
- 4) Dissemination
- 5) Project Management
- 6) Environment and Organizational Capability

Project Narrative Content - Evaluation (Section F.3.a.3, page 17)

- Describe the quantitative and/or qualitative tools/techniques used to assess/evaluate the developed materials, their effectiveness in facilitating improved practices, and how they can be directly used by relevant stakeholder(s).
- Describe how you will identify and document the “lessons learned”, and how you will collect and report evaluation data and ensure the validity and reliability of these data.

Project Narrative Content - Dissemination (Section F.3.a.4, pages 17-18)

- 1) Project Description
- 2) Outcomes
- 3) Evaluation
- 4) Dissemination**
- 5) Project Management
- 6) Environment and Organizational Capability

Project Narrative Content - Dissemination (Section F.3.a.4, pages 17-18)

- Describe a comprehensive dissemination plan to communicate key findings to stakeholders, the general public, and other parties who might be interested in the results of the proposed project. HHS/OASH expects that nationwide dissemination of products and knowledge will occur.

Project Narrative Content - Dissemination (Section F.3.a.4, pages 17-18, continued)

- Describe the method you will use to disseminate the project's results and findings in a timely manner and in easily understandable formats to the PHS-funded research community, the general public, and other parties who might be interested in using the results of the project. HHS/OASH may publish (including on a website), all appropriate findings and products. Therefore, you should propose other, innovative approaches to informing parties who might be interested in using the results of your project to inform practice, service delivery, program development, and/or policy-making.

Project Narrative Content - Project Management (Section F.3.a.5, page 18)

- 1) Project Description
- 2) Outcomes
- 3) Evaluation
- 4) Dissemination
- 5) Project Management**
- 6) Environment and Organizational Capability

Project Narrative Content - Project Management (Section F.3.a.5, page 18)

- Identify the PI, collaborators, and other researchers, including subrecipients, proposed for the project. Include a clear delineation of the roles and responsibilities of project staff and subrecipients and how they will contribute to achieving the project's goals and outcomes.
- Identify the individual who will serve as the Principal Investigator/Project Director and that individual's qualifications. HHS/OASH expects that, throughout the award period, the Principal Investigator/Project Director will have involvement in, and substantial knowledge about, all aspects of the project.

Project Narrative Content - Project Management (Section F.3.a.5, page 18, continued)

- Specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress; preparation of reports; and communications with other partners and HHS/OASH.
- Describe the approach that will be used to monitor and track progress on the project's tasks and objectives.

Project Narrative Content – Environment and Organizational Capacity (Section F.3.a.6, pages 18-19)

- 1) Project Description
- 2) Outcomes
- 3) Evaluation
- 4) Dissemination
- 5) Project Management
- 6) Environment and Organizational Capability**

Project Narrative Content - Environment and Organizational Capability (Section F.3.a.6, pages 18-19)

- Describe your organization's capability to successfully implement the proposed project.
- Describe the research/scientific environment in which the work will be done and how it will contribute to the probability of success. This should include a description of the institutional support, equipment, and other physical resources available to the investigators.

Project Narrative Content - Environment and Organizational Capability (Section F.3.a.6, pages 18-19, continued 2 of 5)

- Describe how your organization (or the division of a larger organization which will have responsibility for this project) is organized, the nature and scope of its work, and the capabilities it possesses.
- Describe the organizational investment in the success of the investigator and proposed project. Examples of such investment include provision of resources such as office space sufficient for project needs, logistical support such as administrative management and oversight, and financial support such as protected time for research with salary support.

Project Narrative Content - Environment and Organizational Capability (Section F.3.a.6, pages 18-19, continued 3 of 5)

- Describe the activities the organization undertakes to “[f]oster a research environment that promotes the responsible conduct of research, research training, and activities related to that research or research training, discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct” (42 C.F.R. § 93.300(c)).

Project Narrative Content - Environment and Organizational Capability (Section F.3.a.6, pages 18-19, continued 4 of 5)

- Describe the capabilities of the applicant organization not included elsewhere in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart in your Appendices showing the relationship of the project to the current organization.

Project Narrative Content - Environment and Organizational Capability (Section F.3.a.6, pages 18-19, continued 5 of 5)

- Include information about any contractual and/or supportive staff/organization(s) that will have a secondary role(s) in implementing the project and achieving project goals. Applicants may forge collaborations. Collaborations should be described in the application and in accompanying letters of commitment.

Application Appendices (Section F.3.c, pages 26 - 27)

- 1) Work Plan
- 2) Letters of Commitment from Subrecipient Organizations, Consultants, and Agencies
- 3) Curricula Vitae/Résumés/Biographical Sketches for Key Project Personnel
- 4) Proof of Institutional Review Board (IRB) Authorization Agreement (if applicable)
- 5) Bibliography of References Cited in Project Narrative

Ensuring Research Integrity – Research, Development, and Demonstration Opportunity No: IR-ORI-22-001

Competitive Application Deadline

Due Date: TUESDAY, March 15, 2022

Cutoff Time: 6:00 p.m. ET



Submission Dates and Times (Section A)

Application is due by 6:00 p.m. Eastern Time, Tuesday, March 15, 2022.

- Your submission time will be determined by the date and time stamp provided by Grants.gov when you complete your submission.
- Strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date.
- Grants.gov may take up to 48 hours to notify you of a successful submission.
- If you fail to submit your application by the due date and time, we will not review it, and it will receive no further consideration.

Eligible Applicants (NOFO, Section E.1, pages 10 - 11)

Applicant eligibility for this NOFO is:

- Any public or private entity, including faith-based, community-based, and Indian Tribes or Tribal organizations, are eligible to apply.
- Foreign institutions (non-domestic U.S.) entities and foreign components of U.S. organizations are eligible to apply.

Note: to receive an award the proposed activity must provide a domestic benefit, such as promoting research integrity among PHS-funded institutions both within the U.S. and abroad.

Cost Sharing or Matching (Section E.2, page 11)

- **You are not required to provide cost sharing or matching in your proposed budget.**
- If you voluntarily include cost sharing in your application, you must include in your budget narrative a non-federal sources justification. During the merit review of an application, cost sharing will only be considered in the overall review of the adequacy of the total proposed budget (Federal and non-Federal share) to support the project proposed.
- Applications including voluntary cost sharing or matching that result in an award will include the cost sharing or matching commitment on the notice of award at the level proposed in the application. Any change in that commitment will require prior approval of the Grants Management Officer.

Application Responsiveness Criteria (Section E.3, Page 11)

- We will review your application to determine whether it meets the responsiveness criterion in Section E.3.
- If your application does not meet the responsiveness criterion, we will disqualify it from the competition; we will not review it beyond the initial screening.
- The responsiveness criteria are as follows:
 - **There are no additional responsiveness criteria for this opportunity.**

Notice of Funding Opportunity (NOFO) Announcement

- The Notice of Funding Opportunity (NOFO) provides information and guidance related to applications.
- Read the entire funding announcement.
- Follow the NOFO carefully!
- **The information provided in the NOFO takes precedence over any conflicting information in other documents.**

Address to Request Application Package (Section F.1, Page 12)

- Obtain an application package electronically by accessing Grants.gov at <http://www.grants.gov/>. Find it by searching the Assistance Listing (formerly CFDA) Number found on page 2 of the NOFO.
- The Assistance Listing (CFDA) Number is 93.085.
- **Be sure to subscribe to the announcement in Grants.gov so you receive notification of any updates to the NOFO or supporting documents.**

Application Submission

- OASH requires that all applications be submitted electronically via Grants.gov unless an exemption has been granted by the grants management officer (Section F.5).
 - **If you submit an application via any other electronic communication, it will not be accepted for review.**
- Grants.gov is a website portal. All funding opportunities and grant application packages are made available on www.Grants.gov .
- An application will not be considered valid until all application components are entered in Grants.gov and received by HHS Office of Grants and Acquisitions Management according to the deadlines specified in the “DATES” section of the NOFO (Section A.1).
- Contact Grants.gov with any questions or concerns regarding the electronic application process 1-800-518-4726.

Application Submission

Applications must be submitted as three (3) files:

File 1: The ENTIRE project narrative (Section F.3.a)

File 2: The ENTIRE budget narrative, including supporting documentation described in the Budget Narrative content section (Section F.3.b)

File 3: All documents in the appendices uploaded in the Attachments section of your Grants.gov application (Section F.3.c)

Note: required standard forms do not apply toward your page count limitations in the submission requirements as stated in Disqualification Criteria (Section E.4).

Application Submission (Section F.8.a)

Any files uploaded or attached to the Grants.gov application must be of the following file formats –

- **Microsoft Word, PowerPoint, Adobe PDF, or image formats (JPG, GIF, TIFF, or BMP only).**
- **Microsoft Excel files will NOT be accepted.**

HHS/OASH strongly recommends that electronic applications be uploaded as Adobe PDF.

- **If you convert to PDF prior to submission, you may prevent any unintentional formatting that might occur with submission of an editable document.**
- **Check your page count of the PDF and/or print your file to ensure that the document does not exceed the page limit.**

Application Submission

- Be complete and do not leave blanks on forms unless the information is clearly not applicable.
- The individual submitting the application forms must have the legal authority to act on behalf of the organization.

Application Submission

- To ensure successful submission of your application, carefully follow the step-by-step instructions provided at
<http://www.grants.gov/web/grants/applicants/apply-for-grants.html>
- These instructions are kept up-to-date and also provide links to Frequently Asked Questions and other troubleshooting information

Application Elements

Forms

- Application for Federal Assistance (SF-424)**
- Budget Information for Non-construction Programs (SF-424A)**
- Assurances for Non-construction Programs (SF-424B)**
- Disclosure of Lobbying Activities (SF-LLL)**
- Project Abstract Summary**

Files

- Project Narrative – Submit all Project Narrative content as a single acceptable file.**
- Budget Narrative – Submit all Budget Narrative content as a single acceptable file.**
- Appendices – Submit all appendix content as a single acceptable file, in the Attachments section of your Grants.gov application.**

Application Format

- Be sure to follow Project Narrative format instructions in the NOFO. Your application will be disqualified if it does not conform to the format requirements.**
- You must double-space the Project Narrative pages.**
- You must use 12-point font.**
- You should use an easily readable typeface, such as Times New Roman or Arial.**
- You may single-space tables or use alternate fonts but you must ensure the tables are easy to read.**
- For Appendices and Budget Narrative, you should use the same formatting specified for the Project Narrative.**
- Appendix documents such as résumés may use alternate formats common to such documents.**

DUNS Number / Unique Entity Identifier (UEI)

- You are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal awards through Grants.gov.
 - **It is a unique, nine-digit identification number, which provides unique identifiers of single business entities.**
 - **The DUNS number is free and easy to obtain.**
- You will find instructions on the Grants.Gov web site as part of the organization registration process at <https://www.grants.gov/web/grants/applicants/organization-registration.html>.

NOTE: Effective April 4, 2022, Grants.gov will transition to the new twelve-digit UEI obtained as part of the SAM registration process.

- https://www.fsd.gov/gsafsd_sp?id=gsafsd_kb_articles&sys_id=e31c534f1b40c1103565ed3ce54bcbce.

System for Award Management (SAM) (Section F.4)

- If you are registering a new entity in SAM.gov, you need to create a login.gov account, if you don't already have one.
 - **Please note that the complete process for registering a new entity involves submission of a notarized letter by mail.**
- If you are renewing your registration, your old SAM.gov username and password will not work anymore. You will need to create a login.gov account if you do not already have one.
- Minimum timeframe to complete an initial SAM registration online is 30 min.
- Timeframe for applicant's registration to become active is up to 10 days and may take longer depending on volume.
- SAM registration **must** be renewed each year.
- Average timeframe for updates in SAM.gov to appear in Grants.gov is up to 72hrs.

SAM (continued)

- We strongly recommend applicants check for an active registration in SAM well before application deadline.
- If you are successful and receive an award, you must maintain an active SAM registration with current information **at all times** during the active award.
- If you have not complied with the SAM registration requirements, HHS/OASH
 - **May determine you are not qualified to receive an award; and**
 - **May use that determination as a basis for making an award to another applicant.**
- Should you successfully compete and receive an award, **all first-tier sub-award recipients must have a DUNS or UEI(SAM) number at the time you, the recipient, make a sub-award.**

Funding Restrictions (Section F.7, pages 29 - 30)

- If you are successful and receive an award, by accepting the award, you agree that the award and any activities thereunder are subject to all provisions of 45 CFR part 75, currently in effect or implemented during the period of the award, other Department regulations and policies in effect at the time of the award, and applicable statutory provisions.
- Costs must be allowable, allocable, reasonable, and necessary direct expenses or indirect costs in accordance with regulations and current policy.
 - **Indirect costs may be included per 45 CFR 75.414. Applicants should indicate which method or rate is used for this application. (Section F.3.b.1.o)**
 - **Pre-award costs are not allowed. (Section F.7.a)**
 - **Current Salary Limitation: \$203,700 effective January 2022 (Section F.7.b)**

Budget Narrative and Forms

The Project Budget Information:

SF 424A Budget Forms

Budget Narrative

Detailed Budget Justification

- Must be consistent with the requirements of the NOFO**
- Budgeted costs must reflect proposed activities**
- Budget line item descriptions and justification requirements are explained in the NOFO**
- Suggested table formats in the NOFO**
- Plan for Oversight of Federal Award Funds (Section F.3.b.2, pages 25 - 26)**

Forms, narrative and detailed justification do not count toward page limit.

Application Disqualification (Section E.3)

If your application does not meet the following requirements it will be disqualified and receive no further consideration:

- **Submitted electronically via www.grants.gov by due date and time (unless an exemption was granted 2 business days prior to the deadline).**
- **If you successfully submit multiple applications for the same project, we will only review the last application received by the deadline.**
- **HHS/OASH/GAM deems your application eligible.**
- **Project Narrative must be double-spaced, on the equivalent of 8.5" X 11" page size with 1" margins on all sides and font size not less than 12 points.**
- **Project Narrative must not exceed 30 pages.**
- **The Total Application, including Project Narrative must not exceed 75 pages.**

Application Disqualification Criteria (continued)

If your application does not meet the following requirements it will be disqualified and receive no further consideration:

- **Your application must be in the English language and must be in terms of U.S. dollars (45 C.F.R. 75.111(a))**
- **Your Federal funds request including indirect costs does not exceed the maximum indicated in Award Ceiling (Section D).**
- **If you have included voluntary cost sharing or matching, you must include in your budget narrative a non-federal sources justification.**
- **Application meets the Application Responsiveness Criteria (section E.3).**

Application Responsiveness Criterion (Section E.3)

There are no additional responsiveness criteria for this opportunity.

Supporting Documentation and Disqualification

- Applications that lack the required supporting documentation or submit additional appendix files will not be disqualified from competitive review;
 - **However, this may impact your application's rating under the evaluation criteria.**
- **Be sure to follow submission instructions carefully.**

Application Review Criteria (Section G.1, pages 32 - 35)

Equally weighted criteria

- **Project Description**
- **Outcomes, Evaluation, and Dissemination**
- **Project Management and Environment and Organizational Capability**

Application Merit Review

- Eligible applications will be reviewed and rated by a panel of independent reviewers with technical expertise in applicable fields according to the criteria listed in the NOFO.
- The Merit Review Panel process is formal and confidential. Federal staff are available for questions and to ensure the process is consistent and fair, but do not participate in discussion and scoring.
- Applications are then also reviewed:
 - **By GAM staff for administrative & business compliance.**
 - **By ORI Program Office staff for programmatic compliance.**

Funding Decisions (Section G.4, page 37)

- The Director of the Office of Research Integrity will make final award selections to be recommended to the Grants Management Officer for risk analysis.
- Upon completion of risk analysis and concurrence of the Grants Management Officer, HHS/OASH will then issue Notices of Award.
 - **No award decision is final until a Notice of Award is issued.**
 - **All award decisions, including level of funding, if an award is made, are final and you may not appeal.**

Funding Process

- **We are not obligated to make any Federal award as a result of this announcement.**
- **Only the grants officer can bind the Federal government to the expenditure of funds.**
- If you receive communications to negotiate an award or request additional or clarifying information, this does not mean you will receive an award; it only means that your application is still under consideration.
- **All award decisions, including level of funding if an award is made, are final and you may not appeal.**

Funding Process – Review of Risk Posed by Applicant

- HHS/OASH will evaluate each application in the fundable range for risks posed by the applicant before issuing an award in accordance with 45 CFR 75.205
- OASH will use a risk-based approach and may consider any items such as the following as stated in the NOFO:
 - **Applicant's financial stability;**
 - **Quality of management systems and ability to meet the management standards prescribed in 45 CFR part 75;**
 - **History of performance – Applicant's record in managing Federal awards including timeliness of compliance with applicable reporting requirement, and conformance to the terms and conditions of previous Federal awards;**
 - **Reports and findings from audits performed; and**
 - **The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.**

Plan for Oversight of Federal Award Funds (Section F.3.b.2)

- If your internal controls are available online, you may provide the link as part of your plan in the budget narrative.
- We have also included Appendix A, which contains questions applicants may find useful in considering their Plan for Oversight of Federal Funds.

Risk Review Resulting in Non-funded Determination

- If we determine your organization does not meet either or both of the minimum qualification standards as described in 45 CFR §75.205(a)(2) and we do not make an award to you as a result, we must report that determination to FAPIIS, if certain conditions apply.
- The standards include at a minimum, if you are a prior Federal award recipient the information in FAPIIS must “demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics.” 45 CFR § 75.205(a)(2)
- Information reported in FAPIIS is available for other organizations to review when considering you for an award.

Notice of Award (NOA)

The Notice of Award:

- Notifies the successful applicant of the selection; award amount; project and budget periods.
- Includes any conditions on the award (i.e., requirements that must be met as a condition of receiving the grant funds).
- Includes standard terms, reporting requirements and contact information for OASH/GAM and the Program Office.

Funding Process – Points of Contact

- GAM is the official contact for awardees throughout the award life cycle.
- All official communication related to the award is between GAM and the successful applicant.
- Unsuccessful applicants will be notified by Program Office via letter.

Summary and Tips

Project Narrative Description:

- ❑ Be clear, complete and concise in the project description; follow and address exactly what is requested in the NOFO.
- ❑ Don't make the reviewer search for the required information. Generally, the easier the application is to review, the better the rating.
 - ❑ **Reviewers are not allowed to do external research, follow embedded links, etc.**
- ❑ Clearly identify the sections of the application and indicate which component is being addressed.
- ❑ The project narrative must include all required information within the page limit. Do not use appendices to expand the page limit.

Summary and Tips

Project Narrative Description:

- Make the goals and objectives “SMART;” Specific; Measurable; Achievable; Realistic; and Time-framed.
- Activities presented in the work plan should relate directly to the proposed goals and objectives.
- The program work plan, evaluation plan and budget should provide a complete picture of how the applicant will address the needs as well as address the purpose and expectations in the NOFO.

Summary and Tips

Staffing:

- The staffing should be appropriate and reasonable for the goals, objectives and activities of the proposed project.
- Be complete in describing what staff will do, the expertise required and the percent time they will be assigned to the project.

Summary and Tips

Budget:

- The budget should include adequate funds to carry out the proposed work plan, evaluation plan and administrative responsibilities of the project.
- The budget should be reasonable and relate directly to the goals and objectives.
- Do not request more funds than are available, as listed in the NOFO. This amount is *inclusive* of indirect costs.
- The operating budget should be complete and include Federal and non-Federal funds, projected program income from fees and third party payers and other contributing funds.

Summary and Tips

Overall:

- Include full names (First Middle Last) for Authorized Official, Principal Investigator/Project Director and all Essential Personnel
- Electronic submission **IS** required.
- Do not wait until the last minute to begin SAM registration or update your registration.
- Do not wait until the last minute to begin the electronic submission—problems could arise.

NOFO Inquiries

Program Questions

Program Office Attn:

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Email: Stephen.Gonsalves@hhs.gov

Telephone: 240-453-8400

Administrative or Financial Questions

Grants Management Specialist:

Duane Barlow

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Electronic Submission Requirements

Grants.gov Applicant Support

www.grants.gov

Email: support@grants.gov

Telephone: 800-518-4726

Please do not contact OASH Program or Grants office staff for Grants.gov issues.

Question and Answer Session

FAQs will be posted to [Grants.gov](https://www.Grants.gov)





These slides and a link to the recording of this presentation will be posted on [grants.gov](https://www.grants.gov) and [ori.hhs.gov](https://www.ori.hhs.gov) following the presentation.
