

**Instructions for Preparing and Submitting the Fiscal Year (FY) 2015  
National Training and Technical Assistance Cooperative Agreement (NCA) Non-  
Competing Continuation (NCC) Progress Report**

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## Purpose

This National Training and Technical Assistance Cooperative Agreement (NCA) Progress Report (NCC) will provide funding for the fiscal year (FY) 2015 budget period (July 1, 2015 through June 30, 2016). Continued funding is based on program compliance, organizational capacity to accomplish the project's goals, Congressional appropriation, and a determination that continued funding would be in the best interest of the federal government.

## Submission and Award Information

Submissions are due in HRSA Electronic Handbook (EHB) by 5:00 PM ET on March 13, 2015. The anticipated date of award is July 1, 2015. The NCC budget request must not exceed the recommended level of support found on line 13 of the most recent Notice of Award (NoA).

## Technical Assistance

ASSISTANCE NEEDED	PLEASE CONTACT
General technical assistance (e.g., copies of forms, FAQs)	<b>NCA NCC Technical Assistance Page</b> <a href="http://www.hrsa.gov/grants/apply/assistance/nca">http://www.hrsa.gov/grants/apply/assistance/nca</a>
Budget or other fiscal issues	<b>William Davis</b> Office of Federal Assistance Management Division of Grants Management Operations <a href="mailto:wdavis@hrsa.gov">wdavis@hrsa.gov</a> or 301-443-8217
Program issues	<b>Cheri Daly</b> Bureau of Primary Health Care Office of Policy and Program Development <a href="mailto:bphcnca@hrsa.gov">bphcnca@hrsa.gov</a> or 301-594-4300
EHB issues (e.g., questions on completing forms in EHB)	<b>BPHC Helpline</b> <a href="http://www.hrsa.gov/about/contact/bphc.aspx">http://www.hrsa.gov/about/contact/bphc.aspx</a> or 1-877-974-2742
Additional assistance (e.g., advance questions about the impact of changing plans)	<b>Assigned Project Officer</b> As listed on your most recent Notice of Award

## Reporting

You must comply with the following reporting and review activities.

### A. Audit Requirements

Comply with audit requirements of Office of Management and Budget (OMB) Circular A-133. Information on scope, frequency, and other aspects of the audits can be found at <http://www.whitehouse.gov/omb/circulars>.

## **B. Payment Management Requirements**

Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System (PMS). The report identifies cash expenditures against the authorized cooperative agreement funds. Failure to submit the report may result in the inability to access cooperative agreement funds.

## **C. Status Reports**

Submit a Federal Financial Report (SF-425) in EHB at the end of each budget period to account for expenditures under the project for the budget period. You will be permitted 90 days to liquidate obligations following the end of the budget period. The report will be due October 30, 2016 (the first quarterly reporting date after the 90-day liquidation period).

## **D. Transparency Act Reporting Requirements**

Awards issued are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, and implemented by 2 CFR Part 170. Grant recipients must report information for each first-tier subaward of \$25,000 or more in Federal funds and executive total compensation for the recipient’s and subrecipient’s five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available at <http://www.hrsa.gov/grants/ffata.html>).

## **General Instructions**

The NCA NCC must not exceed **40 pages** when printed by HRSA (approximately 5 MB). Submit single-spaced narrative documents with 12 point, easily readable font (e.g., Times New Roman, Arial, and Courier) and one-inch margins. Smaller font (no less than 10 point) may be used for tables, charts, and footnotes.

Progress reports lacking all required information will be considered incomplete or non-responsive and will be returned via a “request change” notification in EHB for the provision of missing information. If HRSA does not receive the progress report by the established deadline or receives an incomplete or non-responsive progress report, a delay in NoA issuance or a lapse in funding could occur.

The FY 2015 NCA NCC must consist of the forms and documents identified in [Table 1](#). In the Form Type column of Table 1, the word “Form” refers to forms that are completed online through EHB. The word “Attachment” refers to materials that must be uploaded into EHB.

**Table 1: Forms and Attachments**

Progress Report Section	Form Type	Instructions	Counted in Page Limit?
SF-PPR	Form	Instructions are included in the NCC EHB User Guide available within EHB and at the <a href="#">NCA technical assistance web site</a> .	No
SF-PPR-2	Form	Instructions are included in the NCC EHB User Guide available within EHB and at the <a href="#">NCA technical assistance web site</a> .	No
Budget Information: Budget Details Form	Form	Refer to <a href="#">Section A. Budget Details Form</a> for detailed instructions.	No
Budget Narrative	Attachment	Upload the Budget Narrative. Refer to <a href="#">Section B. Budget Narrative</a> for detailed instructions.	Yes
FY 2014 Project Work Plan Progress Report	Form	Refer to <a href="#">Appendix A</a> for detailed instructions.	No
FY 2015 Project Work Plan	Form	Refer to <a href="#">Appendix A</a> for detailed instructions.	No
Attachments 1 - 6	Attachments	Refer to <a href="#">Attachment Instructions</a> for detailed instructions.	Yes

## Attachment Instructions

### Attachment 1: Program Narrative Update *(Required)*

Provide a brief narrative highlighting **broad issues, significant progress, and challenges** that have impacted the target audience served as a result of the NCA award and the NCA organization itself. This section expands on the updates provided in the structured FY 2014 Project Work Plan Progress Report in EHB. The Program Narrative Update should include a discussion of:

- 1. Any significant progress/challenges** (beyond those included in the FY 2014 Project Work Plan Progress Report) **to the approved NCA Training/Technical Assistance (T/TA) activities.** Include a description of the challenges encountered and strategies taken to overcome them. Include any significant strategy changes needed to address the unique T/TA needs of health centers receiving/seeking special populations funding [i.e., section 330(g) migratory and seasonal agricultural workers, section 330(h) people experiencing homeless, and section 330(i) residents of public housing] and newly funded health centers (e.g., New

Access Point New Starts), as applicable. Note any needs assessments scheduled in the upcoming budget period.

**REMINDER:** Any T/TA activity for which NCAs use HRSA funds must be made available to all existing or potential health centers (i.e., Health Center Program grantees and look-alikes) nationwide, regardless of NCA membership. It will be a violation of the cooperative agreement if NCAs refuse to work with an existing or potential health center. NCAs should provide equal access to T/TA services without regard to NCA membership.

- 2. Any significant changes to collaborations, partnerships, and coordinated activities.**  
Describe significant changes to planned or current collaboration and coordination with other HRSA-supported TA providers (e.g., NCAs, Primary Care Associations, and Primary Care Offices) and other relevant target audience stakeholders. Address how these changes will impact achievement of project goals.
- 3. Any significant changes to plans for evaluation and dissemination of lessons learned.**  
Describe significant changes based on data collection/analysis, needs assessments, and lessons learned to date.
- 4. Any significant changes to project staffing.** Updates should address any significant challenges encountered in recruiting and retaining key management/project staff to accomplish the objectives of the FY 2014 Project Work Plan.
- 5. Any additional progress not captured on the FY 2014 Project Work Plan Progress Report.**  
Provide an overview of any progress not captured through the preceding narrative questions or the FY 2014 Project Work Plan Progress Report (e.g., outreach and enrollment activities).
- 6. Any major expected changes/plans/considerations for activities beyond the upcoming budget period (July 1, 2015 – June 30, 2016).**

**Attachment 2: Staffing Plan (As Applicable)**

If the staffing plan has changed since the last NCA submission, provide a revised staffing plan that includes the education, experience, qualifications, and rationale for the changes. A sample is provided at <http://www.hrsa.gov/grants/apply/assistance/nca>.

**Attachment 3: Position Descriptions for Key Personnel (As Applicable)**

If position descriptions for key staff, including vacant positions, have changed since the last NCA submission, provide the new position descriptions. Key personnel include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Chief Information Officer (CIO), Chief Operating Officer (COO), and Program Leads, among other staff as determined by the NCA. Position descriptions must be limited to **one page** and include the roles, responsibilities, and

qualifications for each position. Indicate in the descriptions if key positions are combined and/or part time (e.g., CEO and CFO roles are shared).

#### **Attachment 4: Biographical Sketches for Key Personnel (As Applicable)**

If there have been any new key staff hired since the most recent NCA submission, provide biographical sketches for the individuals, if not previously submitted to your Project Officer. Each biographical sketch must be limited to **two pages**. Biographical sketches should include training, language fluency, and experience working with the cultural and linguistically diverse populations served.

#### **Attachment 5: Summary of Contracts and Agreements (As Applicable)**

Provide a summary describing any **new or revised** training/technical assistance contracts and/or agreements. The summary must address the following items for each contract and agreement:

- Name and contact information for each affiliated agency;
- Type of contract and/or agreement (e.g., contract, Memorandum of Understanding);
- Brief description of the purpose and scope of the contract and/or agreement (i.e., type of services provided through the agreement, how and where services are provided);
- Brief description of contract deliverables; and
- Timeframe for the contract and/or agreement.

#### **Attachment 6: Other Relevant Documents (As Applicable)**

Provide other documents to support the progress report (publications, survey instruments, data summary charts), as desired. Merge all additional items into a single document before uploading. Please note that these documents will count against the page limit.

### **Budget Instructions**

A complete budget presentation includes the Budget Information: Budget Details form, to be completed electronically in EHB for each future budget year, and the budget narrative attachment. HRSA recommends the following to facilitate development of an appropriate budget.

- The *HHS Grants Policy Statement*: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>
- The *HHS Policy on Promoting Efficient Spending: Use of Appropriated Funds for Conferences and Meetings, Food, Promotional Items, and Printing and Publications*: <http://www.hhs.gov/asfr/ogapa/acquisition/policies/appropriated-funds-use-for-conferences-meeting-space-6-24-2013.html>
- The Conferences section of The *BPHC Primary Care Association Guide 2012-2013*: <http://www.hrsa.gov/grants/apply/assistance/pca/pcaguide2012-2013.pdf>

Funds under this announcement may not be used for the following purposes:

- Construction/renovation of facilities
- Activities not approved under the cooperative agreement
- Reserve requirements for state insurance licensure
- Support for lobbying/advocacy efforts
- Conference sponsorship (content development of individual program sessions related to NCA Project Work Plan is allowable; see the last two resource links above for guidance)

**A. Budget Information: Budget Details Form (Required)**

The budget request should reflect the federal NCA funding only. Do not provide other sources of funding.

In **Section A: Budget Summary**, the NCA request in the Federal column is pre-populated and cannot be edited. The federal funding requested equals the Recommended Federal Budget figure that appears at the top of the Budget Information: Budget Details form. This figure should correspond with the Recommended Future Support figure (Line 13) on the most recent Notice of Award.

In **Section B: Budget Categories**, provide a breakdown of the budgeted funds by object class category (e.g., Personnel, Fringe Benefits). The Budget Information: Budget Details form submitted with your competitive NCA application may serve as a reference point, though the total value for each object class category may be different from year to year based on programmatic changes. The total in Section B should match the total in Section A.

The amounts in the Total Direct Charges row and the Total column will be calculated automatically. Indirect costs may only be claimed with an approved indirect cost rate (see details in the Budget Narrative section below).

Note: The information captured in **Section B: Budget Categories** must be provided for the FY 2015 budget period, as well as the FY 2016 budget period. Assume level funding for development of the required FY 2016 budget details.

In **Section C: Non-Federal Resources**, do not provide other sources of funding.

**B. Budget Narrative (Required)**

Include a line-item budget narrative explaining the amounts requested for each row in Section B: Budget Categories of the Budget Information: Budget Details form. The budget narrative (often referred to as the budget justification) is for **1 year based on your upcoming 12-month budget period (July 1, 2015 – June 30, 2016)**. Upload the budget narrative in the Budget Narrative Form section in EHB.

**Use the budget narrative to clearly explain each line-item within each cost element. Ensure that the budget narrative contains detailed calculations explaining how each line-item expense is derived.** Include the following in the Budget Narrative:

*Personnel Costs:* List each staff member who will be supported by federal cooperative agreement funds, and include the name (if possible), position title, percent full time equivalency (FTE), and annual salary. **Reminder:** NCA federal grant funds may not be used to pay the salary of an individual at a rate in excess of Federal Executive Level II of the Federal Executive Pay scale (currently \$183,300). An individual's base salary, per se, is **not** constrained by the legislative provision; the rate limitation restricts the amount of the salary that may be charged to the NCA funding. Provide all base salaries at the full amount, even if they exceed the salary limit.

See Table 3 below for the information that must be included for each staff position supported in whole or in part with NCA cooperative agreement funds.<sup>1</sup>

**Table 3: Personnel Justification Table**

Name	Position Title	% of FTE	Base Salary	Adjusted Annual Salary	Federal Amount Requested
J. Smith	Chief Executive Officer	50	\$225,000	\$183,300	\$91,650
R. Doe	Chief Financial Officer	100	\$75,950	no adjustment needed	\$75,950
B. Nelson	Data/IT Specialist	25	\$65,000	no adjustment needed	\$16,250

*Fringe Benefits:* List the components that comprise the fringe benefit rate (e.g., health insurance, taxes, unemployment insurance, life insurance, retirement plan, tuition reimbursement). The fringe benefits must be directly proportional to the allocated personnel costs.

*Travel:* List travel costs categorized by local and long distance travel. For local travel, the mileage rate, number of miles, reason for travel, and staff/board members completing the travel must be outlined. For long distance travel, please include the reason for travel (name of conference and location), staff completing the travel, as well as itemized costs associated with airfare, ground transportation, per diem, hotel, conference/meeting registration fees, etc. The budget must reflect travel expenses associated with participating in proposed meetings, trainings, or workshops.

<sup>1</sup> If a full-time staff member is paid from several HRSA funding sources the total federal contribution to that staff person's salary cannot exceed \$183,300.

*Equipment:* Identify the cost per item and justify the need for each piece of equipment to carry out the project. Equipment includes moveable items that are non-expendable, tangible personal property having a useful life of more than 1 year and an acquisition cost that equals or exceeds \$5,000.

*Supplies:* List the items that the project will use, separating items into two categories: office supplies (e.g., paper, pens) and educational supplies (e.g., brochures).

*Contracts:* Provide a clear explanation as to the purpose of each contract, how the costs were estimated, and the specific contract deliverables. Each recipient is responsible for ensuring that its organization/institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring contracts consistent with the federal procurement standards set forth in [45 CFR Part 74](#): Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations or [45 CFR Part 92](#): Uniform Administrative Requirements for Grants And Cooperative Agreements to State, Local, and Tribal Governments, as appropriate.

*Other:* Include all costs that do not fit into any other category and provide an explanation of each cost (e.g., audit, legal counsel). In some cases, rent and utilities fall under this category if they are not included in an approved indirect cost rate.

*Indirect Costs:* Costs incurred for common or joint objectives that cannot be readily identified but are necessary to organizational operation (e.g., facility operation and maintenance, depreciation, administrative salaries). Visit <https://rates.psc.gov/> to learn more about rate agreements, including the process for applying for them. **Note:** If your organization claims indirect costs in your budget, you must upload a copy of your most recent indirect cost rate agreement in [Attachment 6](#).

## Appendix A: Project Work Plan Instructions

### Overview

EHB will pre-populate a 2014 Project Work Plan and a Project Work Plan for 2015 with information included in the last NCA submission. In the 2014 Project Work Plan please report progress made over the past project period. For the 2015 Project Work Plan report anticipated progress and make the appropriate updates on activities for the upcoming 12-month, 2015 budget period. Refer to the sample Project Work Plan and the EHB NCA NCC User Guide available on the [NCA TA website](#) when completing the Project Work Plans.

Complete two Project Work Plans:

1. Report progress in the **FY 2014 Project Work Plan Progress Report**, which is pre-populated with information from the work plan negotiated with your Project Officer following the NCA competitive application.

**Table 5: FY 2014 Project Work Plan Progress Fields**

Field	About this Field
Progress (limit 1,500 characters)	<p>Provide a progress description for each activity.</p> <p>If activities will not be continued in the FY 2015 Project Work Plan, provide an explanation (e.g., This activity is being discontinued in Year 2 because we are shifting resources to support activities related to establishing learning communities.)</p> <p><b>This is a required field. If there has been no progress to date, note this and provide a brief explanation as to why progress has not been made.</b></p>

<p>Current Value</p>	<p>Provide current data based on all T/TA completed to date to show progress toward each Evaluative Measure Goal.</p> <p><b>This is a required field that will accept numeric data for the following:</b></p> <ul style="list-style-type: none"> <li>• # of formal training/technical assistance sessions</li> <li>• # of health center representatives trained</li> <li>• # between 1.00 and 4.00 representing how well training met the stated objectives</li> <li>• # between 1.00 and 4.00 representing how likely trainees are to apply new information</li> </ul>
<p>Narrative Progress Towards Goal (limit 1,500 characters)</p>	<p>Provide narrative details of current progress toward end of Project Period goal.</p> <p><b>This is a required field. If there has been no progress to date, note this and provide a brief explanation as to why progress has not been made.</b></p>
<p>Expected Impact Progress Narrative (limit 1,500 characters)</p>	<p>Describe progress to date toward the identified Expected Impact under each Focus Area.</p> <p><b>This is a required field. If there has been no progress to date, note this and provide a brief explanation as to why progress has not been made.</b></p>

2. Complete the **FY 2015 Project Work Plan** by revising an editable version of the FY 2014 Project Work Plan to focus only on activities planned for FY 2015.

**Table 6: FY 2015 Project Work Plan Fields**

Field	About this Field
Target Audience	<p>This field contains the target audience selected in the competitive application. These include Health Centers Serving Special Populations, Health Centers Serving Vulnerable Populations, Health Centers Seeking Capital Financing, and Health Centers Serving Underserved Communities/Populations.</p> <p><b>This field will pre-populate and be locked.</b></p>
Core Function	<p>There are three Core Functions that outline the required Focus Areas and Activities of the Project Work Plan: Program Requirements, Performance Improvement and Special Initiatives, and Program Assistance.</p> <p><b>This field will pre-populate and be locked.</b></p>

Field	About this Field
<p>Focus Areas (limit 200 characters)</p>	<p>This field contains the focus areas selected in the competitive application. For Health Centers Serving Special Populations and Health Centers Serving Underserved Communities/Populations, all pre-defined focus areas are required and none can be deleted.</p> <p><b>For Health Centers Serving Vulnerable Populations or Seeking Capital Financing, pre-defined focus areas can be deleted or added as long as the minimum requirements from the competitive FOA are met.</b></p> <p><b>Program Requirements:</b></p> <ul style="list-style-type: none"> <li>• Health Centers Serving Vulnerable Populations or Seeking Capital Financing: minimum of 2 required</li> </ul> <p><b>Performance Improvement and Special Initiatives:</b></p> <ul style="list-style-type: none"> <li>• Health Centers Serving Vulnerable Populations or Seeking Capital Financing: minimum of 1 required</li> </ul> <p><b>Program Assistance:</b></p> <ul style="list-style-type: none"> <li>• Health Centers Serving Vulnerable Populations or Seeking Capital Financing: all focus areas except Newly Funded Health Centers are required</li> </ul> <p>For all NCAs, any additional (other) Focus Areas proposed in the competitive application may be deleted. New additional (other) Focus Areas, up to total of 3 under each Core Function, may be added as desired. Additional (other) Focus Areas cannot substitute for the required Focus Areas in each section.</p>

Field	About this Field
<p>Key Factors (limit 500 characters)</p>	<p>If necessary, update the key factors predicted to contribute to and restrict progress toward reaching each goal. A minimum of 2 key factors must be included for each goal. At least 1 restricting key factor and 1 contributing key factor must be identified.</p> <p><b>Key Factors that do not need to be updated require no action.</b></p>
<p>Activity (limit 200 characters)</p>	<p>Update the activities as needed to reflect activities planned for the upcoming budget period of July 1, 2015 through June 30, 2016.</p> <p>At least 2 activities must be listed for each focus area; additional activities can be added for each focus area for maximum of 8 per area. Within each activity, identify at least 1 person/area responsible, time frame, and expected outcome.</p>
<p>Person/Area Responsible (limit 500 characters)</p>	<p>Update/identify at least 1 person/position (maximum of 5) that will be responsible and accountable for carrying out each Activity.</p>
<p>Time Frame (limit 500 characters)</p>	<p>Update/identify at least 1 expected Time Frame (maximum of 5) for carrying out each Activity.</p>
<p>Expected Outcome (limit 500 characters)</p>	<p>Update/identify anticipated results and accomplishments of the proposed Activities (i.e., quantitative and qualitative results). Identify at least 1 outcome for each Activity (maximum of 5).</p>
<p>Comments (limit 1,500 characters)</p>	<p>Update/provide supplementary information related to entries in the Project Work Plan, as desired.</p> <p><b>This field can be left blank.</b></p>

Field	About this Field
Evaluative Measures	<p>Four standard evaluative measures will appear for each focus area, as follows:</p> <p>Evaluative Measure 1: How many formal training/technical assistance sessions are planned?</p> <p>Evaluative Measure 2: How many health center representatives will be trained?</p> <p>Evaluative Measure 3: Based on surveys administered to health center representatives at trainings, how well will health center representative report that the T/TA met the stated objectives?</p> <p>Evaluative Measure 4: Based on surveys administered to health center representatives at trainings, how likely will health center representatives be to apply information from the T/TA in their Health Center Programs/organizations?</p> <p><b>This field will pre-populate and be locked.</b></p>
Goal	<p>The end of <b>project period</b> goal will be pre-populated and locked for each Evaluative Measure. If Focus Areas are added, new Evaluative Measure goals for the end of the project period (by June 30, 2017) must be established.</p>
Expected Impact (limit 1,500 characters)	<p>The ultimate outcome (expected impact by the end of the <b>project period</b>) of all activities under each Focus Area will be pre-populated. Update as needed. If Focus Areas are added, new Expected Impact narrative for the end of the project period (by June 30, 2017) must be provided.</p>