**RFA # 17989**

**NYS Grants Gateway #: DOH01-HCP2-2019**

**Healthcare Practitioner Breast Cancer Education Research Projects (Round 2)**

**QUESTIONS and ANSWERS**

**November 13, 2018 through December 6, 2018**
**Including an applicant conference on November 29, 2018**

**Applicant Conference PowerPoint slides are attached to the end of this Questions and Answers document for your reference.**

**Letter of Intent (RFA Section IV.C. and Attachment 1)**

1. When is the Letter of Intent due?

    A. The Letter of Intent form (Attachment 1) was due on November 23, 2018. However, Letters of Intent will still be accepted after the deadline. The Letter of Intent is not mandatory but is strongly encouraged. See Section IV.C. of the RFA for submission instructions.

2. Do we need to include any information (e.g., project goals) in addition to the Letter of Intent form?

    A. Submit only the information requested on the form. It is important to submit a detailed Letter of Intent and supply sufficient information so the New York State Department of Health's (NYS DOH) peer review contractor, the American Institute of Biological Sciences (AIBS), can recruit experts suitable to review your application. AIBS relies on title, key words, lay summary paragraph and names to help identify potential peer reviewers.

3. Who should we list on the Letter of Intent form?

    A. Identify all participants involved in the proposed project, both internal and external to your organization. It is understood that these names may change; they are used only as a preliminary screening for conflict of interest among potential peer reviewers. Additional rows may be added, if necessary, to list all participants.

4. The summary paragraph box of the Letter of Intent form permits the text to exceed the size of the box. Should we limit the amount of text to which is visible, or can we use the scroll bars to add additional text?

    A. You can use the scroll bars to add text as much as allowed in the form. The summary paragraph does not need to be limited to the visible part of the box.

5. To what extent does the Letter of Intent commit the title and research proposed in the application?

A. There is no commitment inferred by the submission of a Letter of Intent.

6. How specific does the Letter of Intent have to be?

    A. It is important to submit a detailed Letter of Intent and supply sufficient information so the peer review contractor, AIBS, can recruit experts suitable for your application.

7. We submitted the Letter of Intent form. However, as we refine our ideas, could we submit an updated Letter of Intent before the application due date?

    A. Yes, however, we encourage you to submit an updated Letter of Intent as soon as possible. It is understood that the content and names may change; they are used only as a preliminary screening for conflict of interest among potential peer reviewers. See Section IV.C. of the RFA for submission instructions.

## Past Awardees/Previous RFAs

8. Please provide the lay abstracts of past grantees. We would like to have a better sense of past partnerships and receive more information about any findings of past projects. This will help us avoid any unintentional duplication of strategies if we choose to apply.

    A. The last Healthcare Practitioner Breast Cancer Education Research Projects RFA did not result in any awards. At its June 2018 meeting, the Health Research Science Board (HRSB) considered one application for funding, however, the motion to recommend the application for funding was not approved. A link to the HRSB meeting minutes can be found on the HRSB website here: https://www.wadsworth.org/extramural/breastcancer/meetings.

9. Are there any differences between this RFA (Round 2) and its previous round (Round 1)?

    A. There is no change in the purpose of the RFA. There are slight changes to improve the eligibility requirements (Section II) of the partnership between the academic institution and community-based organization (CBO). Successful applications will demonstrate effective, synergistic partnerships between the academic institutions and CBOs, regardless of which organization is identified as the lead applicant organization.

## Purpose of Funds (RFA Section I)

10. Is there a preferred group to target in the planning of an innovative breast cancer education or should more than one group be targeted?

    A. The breast cancer education and community training program should focus on the ability of the healthcare practitioners and students of these professions to become partners with breast cancer patients and to communicate accurately and effectively with patients, survivors, and patients' families. The following approaches to the RFA are acceptable and more than one group may be targeted:

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- Breast cancer patients and their providers
- Women at risk for breast cancer and their providers

11. Is the intent of the RFA to educate healthcare practitioners/student group?

    A. The research project should focus on the healthcare practitioners/student group by enhancing patient-provider communication, motivating patients, and increasing patient health literacy to include an awareness and understanding of new developments in breast cancer causation, risk reduction, disease progression, treatment and survivorship.

## Eligibility (RFA Section II)

12. Breast cancer survivors are a part of our executive staff. Does our organization meet the criterion of breast cancer survivors holding significant decision-making responsibilities?

    A. Yes, CBOs qualify if breast cancer survivors are a part of a board, executive staff or other staff with authority to make programmatic and/or fiscal decisions. The CBO can demonstrate meeting this criterion in the Facility and Resources, Form 7 provided in Attachment 7.

13. Our organization is a teaching hospital, affiliated with a medical school, in which students receive practical training. Our hospital also has a breast cancer support group and provides support services free of charge. Is our hospital eligible to apply as either the academic institution or CBO?

    A. No, your hospital does not meet the requirement of the academic institution. Your hospital does not meet the academic institution requirements because your hospital does not confer graduate degrees in medicine. The students receive their degree from the affiliated medical school. The affiliated medical school may meet the eligibility requirements of the academic institution and you may list your teaching hospital as a performance site (Attachment 3). If the medical school applies as the lead applicant organization, it would need to partner with a CBO. Your hospital may be eligible as a CBO if it meets all the mandatory items as outlined in RFA Section II.

14. Our organization meets the eligibility requirements of the academic institution. We are looking for a CBO (partner) to assist us with program development and evaluation. Do you have a list of NYS organizations that meet the CBO requirements as outlined in the RFA?

    A. This NYS DOH website can assist you with your search for a partnering CBO: https://www.health.ny.gov/diseases/cancer/services/community_resources/. If you click on a county, the CBOs listed under the second heading, "Community-Based, Support & Wellness," should meet the eligibility criteria of a CBO as

outlined in RFA Section II. Please note that this site may not include all the CBOs in NYS.

15. Would a nationwide organization that provides breast cancer education services through local programs and community events be considered a CBO?

    A. You should verify your organization's 501(c)3 status via https://www.guidestar.org/search to see if your organization is a free standing 501(c)3 in New York State. The organization would be required to file a 990 Form (Return of Organization Exempt from Income Tax) and previous years' tax forms will be available. It is necessary to partner with a CBO that meets all the mandatory items outlined in RFA Section II.

16. Is it a mandatory requirement for the partnering organization to be Prequalified in the NYS Grants Gateway?

    A. The partnering organization does not have to be Prequalified in the NYS Grants Gateway. The lead applicant organization (contractor) will have overall responsibility for all contract activities, including those performed by the partnering organization and any additional subcontractors, and will be the primary contact for the NYS DOH and be expected to monitor the use of funds, maintain individual accounts and fulfill other fiscal management criteria for a contract resulting from this RFA. The applicant is also expected to state the specific components of the scope of work to be performed through the partnering organization and any additional subcontracts. Therefore, the applicant organization must be Prequalified in the NYS Grants Gateway, if not exempt (see RFA Section IV.M.). The Grants Management website (formerly Grants Reform) at https://grantsmanagement.ny.gov/get-prequalified provides resources on how to prequalify.

17. Is there a required percentage of professional effort for the lead applicant organization and partnering organization PI/PD and/or Co-PI/Co-PD?

    A. No, the percentage of professional effort for personnel at the lead applicant organization and the partnering organization is not prescribed; it should be dependent upon the nature of the role of each individual at various time points during the project and should be sufficient to complete the work within the contract period.

18. Should the partnering organization be identified by attaching a Memorandum of Understanding (MOU) in the Appendices?

    A. A MOU is not mandatory, however, if you decide to include this as part of your application, it may be placed in the Appendices (Attachment 7: Forms 6-9 PDF file). Note that you must complete Attachment 4: Application Form 1-Sa for the partner organization. Also, Section C. of the Workplan Narrative (Attachment 7: Application Form 8) is the Approach, which should include but not be limited to, a description of the rationale for key personnel, a description of the synergistic qualities of the partnership, a description of other planned collaborations, communication strategies, program planning, pilot implementation, data analysis and assessment and program revision.

19. Our not-for-profit organization has offices in many New York communities and provides an array of free health services to women, including breast cancer screenings.  Are we eligible to apply?

    A.  Your organization may be eligible to apply because it may meet the eligibility requirements of a CBO. For the purposes of this RFA, a CBO is a grass roots, free-standing organization serving one or more New York communities that offers a broad range of breast cancer education or support services free of charge, in which breast cancer survivors hold significant decision-making responsibilities.  In addition, the CBO must be tax-exempt under section 501(c)(3) of the U.S. Internal Revenue Code. Eligibility to apply also includes other mandatory items, including a partnership with an academic institution (see RFA Section II.).

20. Is there a conflict of interest if we partner with an organization that is currently under contract with the NYS DOH?

    A.  There is no conflict of interest if you work with an organization that has contracts with the NYS DOH.  However, the application may not include any scientific, budgetary or commitment overlap with other awards that will be active beyond the anticipated start date. The project goals for this application must be distinct and separate.

21. How do we verify an organization's tax-exempt status?

    A.  If you are unsure of an organization's tax exempt 501(c)(3) not-for-profit status, this can be verified by performing a search for the organization via the GuideStar website, [https://www.guidestar.org/Home.aspx](https://www.guidestar.org/Home.aspx). The organization would be required to file a 990 Form (Return of Organization Exempt from Income Tax), and previous years' tax forms will be available.

22. Can the PI/PD be listed as a PI/PD on more than one application?

    A.  Yes, however, a maximum of one award will be made per PI/PD. Also, the goals and objectives of each application should be significantly different. The peer review panel is charged with identifying potential overlap (see RFA Section V.C.). If scientific, budgetary or time commitment overlap among the pending and active projects is of potential concern, the applicant should clearly delineate the differences among the projects using Attachment 8: Form 10.

## Project Narrative/Workplan Outcomes (RFA Section III)

23. Our CBO has ongoing (e.g. support groups) programs for our breast cancer survivors. Can our application include one of the programs as part of the pilot implementation of the education program?

    A.  Yes, however, your application should propose a <u>new</u> novel communication skills education program. As listed in the "Need, Significance and Impact" evaluation criterion, the application should address a demonstrated unmet need, provide a description of the communication skills to be addressed and relate those to a significant need in the target community, and adequately justify that the proposed

<u>new</u> healthcare practitioner communication skills education program has the potential to positively impact the identified gap or need.

24. Is it acceptable to run a pilot program with a large number of targeted individuals and evaluate the effectiveness of the communication skills education program? Can we fully implement a successful program?

   A. Conducting a pilot study is necessary to evaluate the effectiveness of the program. However, funds from this RFA may not be used to fully implement a successful education program. Results obtained from these research projects may serve as the basis for such future projects.

25. Are there any health communication strategies that we should avoid?

   A. Health communication strategies used should be cited to demonstrate that they are evidence-based. The National Action Plan to Improve Health Literacy at https://health.gov/communication/initiatives/health-literacy-action-plan.asp identifies overarching goals and highest priority strategies that should be pursued to create a health literate society. Organizations can use the action plan as a framework, adapt the goals and strategies to their situation, and decide on specific actions to take.

26. Would using pictures to improve health communication be an evidence-based health literacy practice?

   A. Yes, and you should cite any relevant literature with the evidence that using pictures to improve health communication is an evidence-based health literacy practice in the Workplan Narrative (use Section D of Attachment 7, Form 8).

27. Are applications allowed with a shorter (less than 3 year) duration?

   A. Yes, however a shorter project period could adversely impact the score of the application. You should evaluate your proposed application in the context of the "Approach" review criterion.

**Staff Role in Project**

28. One of our collaborators is an HRSB member, is this a conflict of interest?

   A. Yes. Please know that if a HRSB member is named in the application in any way, this could jeopardize your application from receiving funding and it may not pass eligibility review. HRSB members are prohibited during the tenure of their appointment from applying for, or receiving support, or having any role or interest (other than routine professional or collegial interest in the success of their institution or department) in applications submitted for consideration by the HRSB (per the HRSB Bylaws). Individuals should not discuss their applications with HRSB members because of ethical considerations. Such communication can be viewed as an attempt to bias or influence the HRSB member.

29. Is a joint PI/PD leadership from the same institution allowed?

A. Multiple PI/PDs are not recognized. One individual from the applicant organization must be designated as the PI/PD. This individual is the point of contact for all aspects of the contract. If one or more PI/PDs are also designated, those individuals may or may not be from the applicant institution. See instructions (RFA Attachment 2) for Forms 1 and 1-S.

30. I have more than one Co-PI/Co-PD from my organization. How do I list all Co-PIs on the application?

A. Attachment 3: Form 1 allows only one Co-PI/Co-PD to be listed. Use Attachment 3: Form 2 and the workplan narrative to designate the others.

31. Is there a required percentage of effort for the PI/PD and or Co-PI/Co-PD?

A. No. See RFA Attachment 2 instructions for completion of the Budget and Justification.

32. What's the difference between a co-investigator and a Co-PI/Co-PD?

A. A Co-PI/Co-PD is designated by the PI/PD as an individual who has equal responsibility and authority for ensuring the completion of the entire project. A co-investigator may be responsible for a specific component of the research project. The PI/PD is the point of contact for all aspects of the application and contract. Roles are defined in Attachment 2, page 6.

## Submitting the Application in the NYS Grants Gateway

33. What type of internet browser should I use when working in the NYS Grants Gateway?

A. Applicants must use Internet Explorer version 11 or higher when completing the "Work Plan Properties" section in the New York State Grants Gateway. Using any other browser may likely lead to errors on this page which could adversely impact the application as well as the ability to successfully submit the application.

34. This is my first time completing an application in the NYS Grants Gateway. Are there any resources (e.g. tutorials, manuals) that I should reference?

A. The Grants Management website (formerly Grants Reform) at https://grantsmanagement.ny.gov has resources to help you get started and navigate the system. The Grants Management team hosts weekly webinars for organizations interested in topics such as registration and prequalification, grants application, and contract management. The Vendor User Manual assists users with Grants Gateway walkthroughs and instructions located at https://grantsmanagement.ny.gov/system/files/documents/2018/11/vendor-user-manual-final.pdf.

35. What is to be submitted by the application due date and is there a checklist?

A. Refer to Attachment 2, Application Checklist and Instructions, for a list of mandatory (Pass/Fail) items, items that may be included in the appendices,

application penalties, and application completion instructions. To ensure that all mandatory pass/fail items and penalty items are adequately addressed, see Attachment 2 pages 2-3. The NYS Grants Gateway requires other forms to be completed and submitted as well; see the instructions provided in Pre-Submission Uploads and Program Specific Questions. If required questions are not answered and/or files are not uploaded, you will receive an error message describing what is missing.

Also, refer to RFA Section IV.E. How to Complete and File an Application. Applications may only be submitted through the NYS Grants Gateway. Applications are due by 4:00pm on January 3, 2019. Please note the NYS Grants Gateway system time will be used, not the time displayed by your local computer. Applicants are strongly encouraged to start completing an application in the NYS Grants Gateway no less than seven days before the due date. Applicants are strongly encouraged to submit proposals at least 48 hours prior to the due date and time. This will allow sufficient opportunity for the applicant to obtain assistance and take corrective action where needed. The NYS DOH contact listed on the cover of the RFA, Grants Gateway Team and Agate Technical Support Help Desk staff are available to answer applicants' technical questions and provide technical assistance prior to the application deadline (see RFA Section IV. B.). **Failure to leave adequate time to address issues identified during this process may jeopardize an applicant's ability to submit their application.** However, please note that although the staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time, there is no guarantee that they will be resolved in time for the application to be submitted and, therefore, considered for funding. NOTE: The NYS Grants Gateway does not assess the content of text boxes or uploads, only that questions are answered, and files are uploaded successfully.

36. How do I get help using the NYS Grants Gateway?

   A. As outlined in RFA Section IV. B., applicants are strongly encouraged to access the guides, videos and training opportunities available via the NYS Grants Management website (formerly Grants Reform) at: https://grantsmanagement.ny.gov/. This website has helpful resources, such as instructional videos and a Vendor User Manual at https://grantsmanagement.ny.gov/system/files/documents/2018/11/vendor-user-manual-final.pdf. Their tutorials cover topics such as Grants Gateway Prequalification and How to Apply for a Grant. Technical questions regarding the forms used in the application should be directed to the NYS DOH contact listed on the cover of the RFA up until the application deadline. NYS Grants Gateway questions regarding application completion/submission, registration and policy should be directed to the Grants Team, Monday-Friday from 8am to 4:00 pm at 1-518-474-5595 or grantsgateway@its.ny.gov. Technical issues regarding the NYS Grants Gateway should be directed to the Agate Technical Support Help Desk, Monday-Friday from 8am – 8pm at 1-800-820-1890 or helpdesk@agatesoftware.com.

37. If there are multiple errors uploading completed application forms to the NYS Grants Gateway, will the applicant be notified of all errors at once, or only one at a time?

A. A single list of global errors will be produced. It is highly recommended to use the "Check Global Errors" button repeatedly until no errors are found.

## **Application Forms**

38. Why is spell check turned off on some of the application forms and why can't we cut and paste into them?

    A. Attachment 3 is set up as protected fillable forms, so the data can be exported to databases used to facilitate peer review and award processes. Spell checking is disabled in Attachment 3; it is available in the other form sets. The cut/paste function will work in its forms; be sure to insert text inside the gray boxes. Please submit Attachment 3 as a fillable pdf.

39. Can we view the concatenated pdf file of our application before submitting the application?

    A. Unfortunately; the concatenated file is created after application submission. It can be viewed under "Application Versions" of the Forms Menu. Applicants will need to ensure all of the uploaded pdf documents in their application are legible as they will be used for peer review. The concatenated pdf file of the application will not be used for peer review.

40. We download all the forms from the Pre-submission Uploads section of the Grants Gateway. Where do we upload them?

    A. Most of the completed application forms will need to be uploaded in response to Program Specific Questions. The exceptions are Attachments 1, 9 and 10, which are uploaded in the Pre-submission Uploads section. Attachment 11 (if needed) is uploaded in the Performance Measure section, then click the [SAVE] button. Please do not upload other forms in the Pre-submission Uploads section as this will cause duplicate uploads. Duplicate uploads may result in different versions of the file being uploaded in those two locations. Only the files uploaded in the correct section of the NYS Grants Gateway will be used for peer review. Uploading files in the wrong section of the NYS Grants Gateway might adversely impact the score of the application.

41. Where should I include letters of collaboration (not co-PI) and collaborators' biographical sketches?

    A. Letters of collaboration may be included in the appendices (in the same file as Forms 6-9). Biographical sketches of collaborators named in the workplan and budget should be incorporated to the other biographical sketches using Form 6. The biographical sketches of other collaborators (not named in the workplan or budget) may be included in the appendices. See RFA Attachment 2 for further details.

42. Why are there two workplans in the application?

A. The Workplan Narrative (Attachment 7: Form 8), will be used by the peer reviewers to understand the full context and details of the proposed research plan. Form 8 allows for greater detail and information than the Online Workplan. The Online Workplan will be included in a system-generated contract using a standardized format. Both are peer reviewed, so completeness and consistency between the two is important.

43. What are the format specifications of the workplan (font, margins, etc.)?

A. The forms are pre-set with acceptable fonts, margins, etc. Please refer to RFA Attachment 2 for additional details, page limitations and penalties.

44. For the appendices, is there a page limit and what can I submit here?

A. There is no page limit for the appendices. See Attachment 2 for appropriate materials that can be placed in the appendices. The appendices may not be used to exceed the page limits for the Workplan Narrative.

45. Are there instructions about how to complete the online portions of the application, workplan and budget?

A. Yes. See the Vendor User Manual, instructional videos and helpful tips on the Grants Management website at: https://grantsmanagement.ny.gov and RFA Attachment 2.

46. Do we need to complete and submit Attachment 11, Online Workplan Continuation Form?

A. We strongly suggest entering your Online Workplan in this document and then cut and paste in to the "Workplan Properties" section of the Grants Gateway. If you can fit all of your information in the workplan online, you are finished with this part of the application and do not need to submit Attachment 11; if you cannot fit the outline on this page you can upload the completed "Online Workplan Continuation Form" in the first objective's performance measure section of the NYS Grants Gateway. More information about Attachment 11 can be found in Attachment 2, page 14.

## **Budget**

47. How large is a single award and what are the annual costs?

A. Approximately $270,000 is available for a single award. The funding is available for a period of up to three (3) years. The annual direct costs for a single award are capped at $75,000 per year. Additionally, funds will be available to support Facilities and Administrative (F&A) costs up to 20 percent of modified total direct costs (see RFA Section I.C.).

48. Can I list someone by title on the budget instead of by name?

A. Detailed budget justifications are required for each budget line. All PI/PDs and Co-PI/Co-PDs should be identified by name. If other positions are yet to be filled,

you should specify the title of the position and "to be determined" for the name of the individual for the budget justification.

49. Is overhead allowed? If so, is it the same as the National Institutes of Health (NIH)?

   A. Overhead is allowed but it is not the same as the NIH. Facilities and Administrative (F&A) costs are limited to 20% of modified total direct costs. See RFA Attachment 2 for details.

50. Does the applicant need to budget/spend the maximum of money for all years?

   A. No. Each annual budget should reflect the true needs of the project (see RFA Attachment 2 and RFA Section V. E., Review Criteria). All aims of the project are expected to be completed prior to the end of the contract. Requests for carry forward of unspent funds and no cost extensions may not be granted.

51. How much budget justification is necessary?

   A. Fully justify each budget line for each year. The budgets are peer reviewed, so provide sufficient detail to demonstrate that specific uses and amounts of funding have been carefully considered. See RFA Section V.E. for the "Budget" review criterion.

52. Is fringe separate? How do we enter information for employees that have different fringe rates?

   A. Fringe rates, including different fringe rates for different personnel, can be detailed in the budget justification section of the budget forms.

53. Do we need to submit a budget for our partnering organization?

   A. Yes, detailed line item budgets and justifications for the lead applicant and their partnering organization must be submitted for the entire length of the award. The lead applicant's Year 1 budget is entered directly into the NYS Grants Gateway while Years 2 and 3 are entered into the Excel file provided (Attachment 5: Form 5). The partnering organization's budgets for the entire length of the contract are entered in the Excel file (Attachment 6: Form 5-S). Detailed instructions are provided in Attachment 2.

## Minority and Woman-Owned Business Enterprise Requirements

54. Are Minority and Woman-Owned Business Enterprise Requirement forms required to be submitted with the application?

   A. Yes. A completed Attachment 10: Forms 1 and/or 2 must be included in the application submission. See RFA Section IV.I. and Attachment 10 for detailed instructions.

55. We cannot identify MWBE's on the https://ny.newnycontracts.com website that can provide the supplies and equipment we need for our research. Are there any other resources available for identifying MWBE's that we can use?

   A. No. The https://ny.newnycontracts.com website that identifies approved MWBE's is always being updated as new vendors are approved so you can periodically check back for new vendors. As part of completing the forms, you must document your efforts to identify MWBE's. NOTE: Failure to do due diligence, fill out forms completely, correctly and attach sufficient documentation in the Pre-submission Uploads section of the application <u>will delay</u> processing for all awarded contracts. If you cannot meet the goal, you must apply for an exemption.

## <u>Application Review and Award Process</u>

56. How are the peer reviewers selected?

   A. The Department of Health's peer review contractor, AIBS, will review the Letter of Intent and eligible applications to recruit experts appropriate to the area of proposed research.

57. What is the range of numerical scores that the Review Panel uses for each evaluation criterion?

   A. Applications will receive numerical scores from each participating Review Panel member for each evaluation criterion using an integer scale that equates to adjectival scores, where 1 equates to highest merit and 9 equates to lowest merit. Guidance for each numerical score/adjectival score is provided in the RFA on pages 20-21.

58. What happens to applications that are not funded?

   A. The HRSB may elect, at its discretion, to continue making recommendations for funding of proposals beyond what is available for the RFA. These applications may be given the status "Approved but not funded." Applications with this status may be funded should additional funds become available. Applications with this status may also receive funding if an awardee decides to decline funding. All applicants, regardless of status, will receive the Peer Reviewer critiques and scores.

# Today's Agenda

1.  Administrative Items
    *   Important deadlines and requirements

2.  Overview
    *   RFA currently posted in the NYS Grants Gateway

3.  RFA Attachments
    *   Attachments 1-11
    *   Expenditure Budget
    *   Online Work Plan

4.  Review and Award Process

5.  Grants Gateway Overview

6.  Your Questions

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# Administrative Items

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*See RFA cover sheet*

# Important Dates

**Letter of intent due:** 11/23/18

**Substantive questions due:** 12/6/18

**Questions, answers
and updates posted:** 12/14/18

**Applications due:** 1/3/19
by 4PM EST

**EMAIL**
hrsb@health.ny.gov
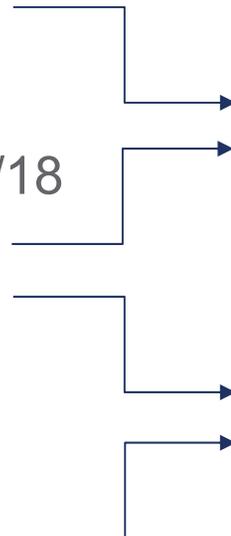
**https://grantsgateway.ny.gov**

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# Administrative Requirements

- Not-for-profits must be Registered and Prequalified in the NYS Grants Gateway *(RFA Section IV. M)*

- Properly prepare and submit all required Forms *(RFA and RFA Attachment 2)*

- Freedom of Information Law *(RFA Section V. B.)*

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⭐ **The following table provides a snapshot of which roles are allowed to Initiate, Complete, and Submit the Grant Application(s) in the NYS Grants Gateway**

| Role | Create and Maintain user Roles | Initiate Application | Complete Application | Submit Application | Only view the Application |
|---|---|---|---|---|---|
| Delegated Admin | ✔ | | | | |
| Grantee | | ✔ | ✔ | | |
| Grantee Contract Signatory | | ✔ | ✔ | ✔ | |
| Grantee Payment Signatory | | ✔ | ✔ | | |
| Grantee System Administrator | | ✔ | ✔ | ✔ | |
| Grantee View Only | | | | | ✔ |

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# Quick Contacts & Resources

*See RFA cover sheet & pgs. 7-8*

**Jeannine Tusch**

**Extramural Grants Administration**

Phone: 518-474-7002

**hrsb@health.ny.gov**

**Agate Technical Support Help Desk**

Phone: 1-800-820-1890

Hours: Monday thru Friday 8am-8pm

**helpdesk@agatesoftware.com**

**(Technical Questions)**

**Grants Gateway Team**

Phone: 518-474-5595

Hours: Monday thru Friday 8am-4pm

**grantsgateway@its.ny.gov**

**(Application Completion, Policy, and Registration Questions)**

**Resources**

https://grantsmanagement.ny.gov/

https://grantsmanagement.ny.gov/grantee-documents

**Grantee Quick Start Guide**

https://grantsmanagement.ny.gov/system/files/documents/2018/11/vendor-user-manual-final.pdf

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# RFA Overview

*See RFA pg. 4*

# Purpose of Funds

To facilitate the delivery of superior breast healthcare in NYS through an investment in the planning, development, implementation, rigorous evaluation and revision of innovative breast cancer education and communication training programs for healthcare practitioners and students of these professions.

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*See RFA pgs. 6-7*

# Breast Cancer Education Research Project

★ Propose a novel breast cancer education research project

★ The National Action Plan to Improve Health Literacy
https://health.gov/communication/initiatives/health-literacy-action-plan.asp

★ Target:
- Healthcare Practitioner/Student Group:
  - Enhance Provider-Patient communication
  - Motivate Patients to be full participants in their care
  - Increase Patient health literacy

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*See RFA pgs. 6-7*

# Breast Cancer Education Research Project

1. Planning and development

2. Pilot implementation of the novel program

3. Rigorous, formal evaluation of the pilot's effectiveness

4. Revision and refinement

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# Available Funds

- Approximately $540,000 is available to support approximately two (2) awards

- Funding is available for a period of up to three (3) years

- Annual direct costs are capped at $75,000 per year

- Additionally, funds will be available to support Facilities and Administrative (F&A) costs up to 20% of modified total direct costs

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*See RFA pgs. 4-6*

# Who May Apply?

⭐ <u>**Academic institution:**</u>
- Accredited graduate degree level granting postsecondary institution in NY
- Accredited Medicine, Physician Assistant, Nursing, Health Education or Public Health at the graduate degree level
- https://ope.ed.gov/accreditation/

⭐ <u>**Community-Based Organization (CBO)**</u>:
- Tax exempt under section 501(c)(3)
- Grass roots, free-standing organization in NY, where breast cancer survivors hold significant decision-making responsibilities
- Serves one or more NY communities
- Offer a broad range of breast cancer education or support services free of charge

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*See RFA pg. 5*

# Partnership

⭐ There must be a **Partnership**. These are the two scenarios:



Academic Institution

CBO

OR

CBO

Academic Institution

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# Eligibility to Apply Also Includes the Following Items

- The PI/PD will not be a postdoctoral fellow or dependent research staff

- The PI/PD can not be restricted from receiving Public Health Service (PHS) funding or debarred by the United States Food and Drug Administration (FDA) or any other federal or New York State government entity

## *CBO, Eligibility FAQ*

1.  My organization is a for-profit, private breast surgeon practice. Would my organization be eligible to apply for the RFA as the CBO?

    **Answer** No, because one of the mandatory CBO requirements is that it has to be a tax-exempt organization under section 501(c)(3) of the U.S. Internal Revenue Code. Another mandatory requirement is that there must be a partnership between an academic institution and a CBO. *Note that other subcontracting and collaborating organization, outside of the partnership, may include private, not-for-profit and for-profit entities within or outside of New York State.

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## *CBO, Eligibility FAQ*

2.  Do you have a list of NYS organizations that meet the CBO requirements?

    Answer https://www.health.ny.gov/diseases/cancer/services/community_resources/

    -"Community-Based Support and Wellness" programs

    -Verify that the CBO meets the eligibility requirements on page 5 of the RFA

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## *CBO, Eligibility FAQ*

3. Could a nationwide organization that provides breast cancer education services through local programs and community events be considered a CBO?

   **Answer** You should verify your organization's 501(c)3 status via https://www.guidestar.org/search to see if your organization is a free standing 501(c)3. The organization would be required to file a 990 Form (Return of Organization Exempt from Income Tax) and previous years' tax forms will be available.

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## *CBO, Eligibility FAQ*

4.  Breast cancer survivors are a part of our executive staff. Does our organization meet the criterion of breast cancer survivors holding significant decision-making responsibilities?

    **Answer** Yes, if breast cancer survivors are a part of the CBO's board, executive staff or other staff with authority to make programmatic and/or fiscal decisions. The CBO can demonstrate meeting this criterion in the Facility and Resources form provided in Attachment 7.

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## *Partnering Organization, FAQ*

5.  Is it mandatory for the partnering organization to be Prequalified in the NYS Grants Gateway?

    Answer   No, because the lead applicant organization (contractor) will have overall responsibility for all contract activities. The applicant organization must be prequalified in the Grants Gateway, if not exempt (see RFA Section IV. M.).

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## *Partnering Organization, FAQ*

6.  Should the partnering organization be identified by attaching a Memorandum of Understanding (MOU) in the Appendices?

    Answer An MOU is not mandatory, however, if you decide to include this as part of your application, it may be placed in the Appendices (Attachment 7, Application Forms 6-9 PDF file).

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## *Breast Cancer Education Research Project FAQ*

7.  Is the provided education intended to address improved communication between breast cancer patients and their providers, or all women at risk for breast cancer (as well as those diagnosed) and their providers?

    **Answer** The following approaches to the RFA are acceptable and more than one group can be targeted:
    *   Breast cancer patients and their providers
    *   Women at risk for breast cancer and their providers

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## *Breast Cancer Education Research Project FAQ*

8.  Is the intent of the RFA to educate the healthcare practitioner/student group?

    Answer The research project should focus on the healthcare practitioner/student group by enhancing patient-provider communication, motivating patients, and increasing patient health literacy to include an awareness and understanding of new developments in breast cancer causation, risk reduction, disease progression, treatment and survivorship.

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# RFA Attachments
# 1-11

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# Attachment 1: Letter Of Intent (LOI)

Provide the following using the LOI Form:

*Download & Upload in the Pre-Submission Uploads Section of the Grants Gateway*

*Email to hrsb@health.ny.gov*

- Descriptive title

- Key words,

- Summary paragraph, and

- List all participants involved in the proposed project

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# Attachment 2: Application Checklist and Instructions

- Mandatory Pass/Fail Items

- Appendices (add items to Forms 6-9 PDF)

- Application Penalties

- Prescribed Format

*Download in the Pre-Submission Uploads Section of the NYS Grants Gateway*

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# Attachment 3: Application Forms 1-4

*Download in the Pre-Submission Uploads Section of the Grants Gateway*

1. Applicant Face Page

2. Staff, Collaborators, Consultants and Contributors

3. Acronyms and Abbreviations Used in Application

*Upload in the Program Specific Questions Section of the Grants Gateway*

4. Lay Abstract

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# Attachment 3: Application Forms 1-4 (continued)

# Attachment 3: Application Form 2

Form 2 – Staff, Collaborators, Consultants and Contributors

| Last Name | First Name | Title | Institutional Affiliation | Role in Project |
|---|---|---|---|---|
|  |  |  |  | PI/PD |
|  |  |  |  | PI/PD |
|  |  | *Application Form 2* |  |  |
|  |  |  |  | PI/PD |
|  |  |  |  | PI/PD |

Role in Project dropdown options:
PI/PD
PI (Sponsor)
Co-PI/Co-PD
Research Scientist
Co-Investigator
Collaborator
Mentor
Consultant
Postdoc
Applicant Fellow

# Attachment 3: Application Form 3

| Form 3 Acronyms and Abbreviations Used in Application |  |
| --- | --- |

| Acronym | Full Text/Definition/Description |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

Application Form 3

# Attachment 3: Application Form 4

# Attachment 4: Application Form 1-S (Required)



*Download in the Pre-Submission Uploads Section of the Grants Gateway*

**The partner organization <u>must</u> be named using this Form 1-S$_a$**

**Use Form 1-S$_b$ through 1-S$_f$ for subcontracting and/or collaborating organizations**

*Upload in the Program Specific Questions Section of the Grants Gateway*

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# Online Budget and Justification (Year 1)

Menu ( **Forms Menu** ) Status Changes | Management Tools | Related Documents and Messages

**Expenditure Budget**

| |
|---|
| Personal Services - Salary |
| > Personal Services - Salary Narrative |
| Personal Services - Fringe |
| > Personal Services - Fringe Narrative |
| Contractual |
| > Contractual Narrative |
| Travel |
| > Travel Narrative |
| Equipment |
| > Equipment Narrative |
| Operating Expenses |
| > Operating Expenses Narrative |
| Other Expenses Detail |
| > Other Narrative |
| Expenditure Summary |
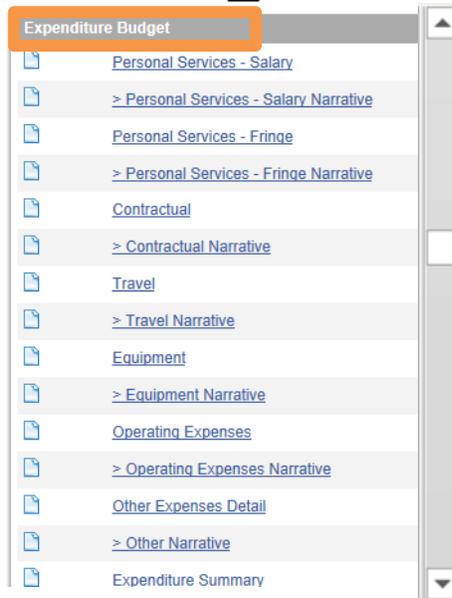
**Click on Forms Menu → Scroll down to Expenditure Budget Section**

Complete each form and narrative of the Online Budget for Year One (Applicant Organization)

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https://grantsgateway.ny.gov

# Attachment 5: Application Form 5 (Years 2 & 3)



*Tab 1, Total Budget*



*Tab 2, Justification*

*Download in the Pre-Submission Uploads Section of the Grants Gateway*

*Upload in the Program Specific Questions Section of the Grants Gateway as a PDF and XLS or XLSX file*

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# Attachment 6: Application Form 5-S (Years 1-3)

*Download in the Pre-Submission Uploads Section of the Grants Gateway*



*Upload in the Program Specific Questions Section of the Grants Gateway as a XLS or XLSX file*

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# Attachment 7: Application Forms 6-9

6.  Biographical Sketch

7.  Facilities and Resources

8.  Workplan Narrative

9.  Human Subjects

*Download in the Pre-Submission Uploads Section of the Grants Gateway*

*Upload in the Program Specific Questions Section of the Grants Gateway*

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# Attachment 7: Application Form 6 – Biographical Sketch

# Attachment 7: Application Form 7 – Facilities and Resources

Attachment 7

Form 7 – Facilities and Resources

Laboratory:

Clinical:

Animal:

Computer:

Office:

Other:

Major Equipment:

2

*Application Form 7*

# Attachment 7: Application Form 8 – Workplan Narrative

A. Statement of Need, Significance and Impact

B. Project Goals

C. Approach

D. Literature Citations

Form 8 – Workplan Narrative

A. Statement of Need, Significance and Impact

B. Project Goals (Specific Aims)

*Application Form 8*

C. Approach (Design and Method)

D. Literature Citations in Support of Sections A-C

# Attachment 7: Application Form 9 – Human Subjects

Form 9 – Human Subjects

SECTION A:

1. Applicant/Partner/Subcontractor Organization Name: ▭
2. Are Human Subjects involved?  ☐ Yes  ☐ No
3. Is the project Exempt from federal regulations?  ☐ Yes  ☐ No
4. If YES to #3, what is the Exemption number?  ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6
5. If NO to #3, is the IRB review Pending?  ☐ Yes  ☐ No
6. IRB Approval Date (leave blank only if Yes to #5): ▭
7. IRB Protocol Approval Number: ▭

SECTION B:

*Application Form 9*

5

*Add appendices after this form.*

*Upload in the Program Specific Questions Section of the Grants Gateway*

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# Online Workplan

⊙ Menu ⊙ **Forms Menu** ⊙ Status Changes ⊙ Management Tools ➜ Related Documents and Messages

**Work Plan**

Work Plan Overview Form

Work Plan Properties **NEW**

**Pre-Submission Uploads**
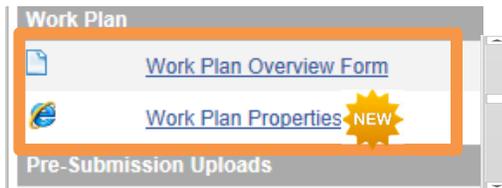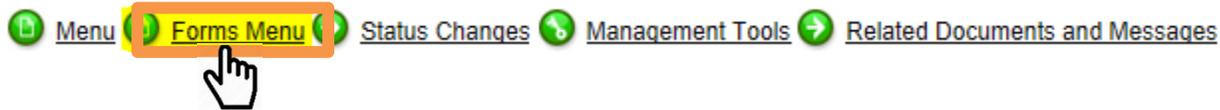
**Click on Forms Menu → Scroll down to Work Plan Section**

- Complete the Work Plan Overview Form and

**NEW** Workplan Properties

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# Attachment 11: Online Workplan Continuation Form

ATTACHMENT 11 – WORK PLAN
*DETAIL*

| OBJECTIVE | TASKS | PERFORMANCE MEASURES |
|---|---|---|
| 1. | 1.1 | 1.1.1 |
| | | 1.1.2 |
| | | 1.1.3 |
| | 1.2 | 1.2.1 |
| NEW | | 1.2.2 |
| | | 1.2.3 |
| | 1.3 | 1.3.1 |
| | | 1.3.2 |
| | | 1.3.3 |

Attachment 11

Page 2 of 6 – Attachment 11 – Continuation Online Work Plan

August 31, 2018

*Download in the Pre-Submission Uploads Section of the Grants Gateway and upload completed form in "Workplan Properties" section if necessary.*

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# Project Narrative/Workplan Outcomes

- The application may not include an scientific, budgetary or commitment overlap with other awards that will be active beyond the anticipated start date of the award

- Funded projects shall not include program implementation which goes beyond the contract period

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# Attachment 8: Application Form 10



*Download in the Pre-Submission Uploads Section of the Grants Gateway*

*Upload in the Program Specific Questions Section of the Grants Gateway*

*See RFA pg. 16*

# Attachment 9: Vendor Responsibility Attestation

**ATTACHMENT 9**
**Vendor Responsibility Attestation**

To comply with the Vendor Responsibility Requirements outlined in Section IV,
Administrative Requirements, L. Vendor Responsibility Questionnaire, I hereby certify:

**Choose one:**

☐ An on-line Vendor Responsibility Questionnaire has been updated or created at OSC's
website: https://portal.osc.state.ny.us within the last six months.

☐ A Vendor Responsibility Questionnaire is not required due to an exempt status.
Exemptions include governmental entities, public authorities, public colleges and
universities, public benefit corporations and Indian Nations.

Signature of Organization Official: _____

Print/type Name: _____

Title:_____

Organization:_____

Date Signed:_____

*Attachment 9*

*Download &
Upload in the
Pre-Submission
Uploads Section
of the Grants
Gateway*

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# Attachment 10: Minority & Women-Owned Business Enterprise Requirement Forms

*See RFA pgs. 14-15*

- MWBE Utilization Plan (3 pages)

- MWBE Utilization Waiver Request

- Online Compliance

- Staffing Plan

- Equal Opportunity Policy Statement

- Instructions



-MWBE Form #1-
New York State Department of Health
MWBE UTILIZATION PLAN

Applicant/Grantee Name:

Vendor ID: | Telephone No. / Email:

RFA/Contract Title: | RFA/Contract No.

Description of Plan to Meet MWBE Goals (Use pages 2-3 to provide specific M and W subcontractor information)

*Attachment 10*

PROJECTED MWBE USAGE

| | % | Amount |
|---|---|---|
| 1. Total Dollar Value of Eligible Expenditures for Life of Contract (Any open market subcontracts or purchases are eligible for Not-For-Profits) | | $ |
| 2. MBE Goal Applied to Eligible Expenditures | | $ |
| 3. WBE Goal Applied to Eligible Expenditures | | $ |
| 4. MWBE Combined Eligible Expenditure Totals* | | $ |

"Making false representation or including information evidencing a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Firms that do not perform commercially useful functions may not be counted toward MWBE utilization."

*If less than the stated goal in RFA, Form #2 is required. | Form #1 -Page 1 of 3

*Download & Upload in the Pre-Submission Uploads Section of the Grants Gateway*

https://ny.newnycontracts.com

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## *Project Narratives / Workplan FAQ*

1.  Are there any health communication strategies that we should avoid?

    **Answer** Health communication strategies used should be cited to demonstrate that they are evidence-based.

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## *Project Narratives / Workplan FAQ*

2. Would using pictures to improve health communication be an evidence-based health literacy practice?

   **Answer** Yes, and you should cite any relevant literature with the evidence that using pictures to improve health communication is an evidence based health literacy practice in the Workplan Narrative (Section D of Attachment 7, Form 8)

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## *Budget FAQ*

3. How much budget justification is necessary?

   Answer Fully justify each budget line for each year. The budgets are peer reviewed, so provide sufficient detail to demonstrate that specific uses and amounts of funding have been carefully considered.

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## *Budget FAQ*

4. Do we need to submit a budget for our partnering organization?

   (Answer) Yes, the partnering organization's budgets for the entire length of the contract are entered in the Excel file (Attachment 6: Form 5-S).

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## *Budget FAQ*

5.  Can I list someone by title on the budget instead of by name?

    **Answer** Detailed budget justifications are required for each budget line. All PI/PDs and Co-PI/Co-PDs should be identified by name. If other positions are yet to be filled, you should specify the title and position and "to be determined" for the name of the individual in the budget justification.

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# Review and Award Process

# Review and Award Process

- Administrative Pass/Fail

- Peer Review Process

- Health Research Science Board Review (HRSB)

- Contract Execution

# Review Criteria

1.  Approach  **40%**

2.  Need, Significance and Impact **20%**

3.  Team Composition/Integration and Environment  **20%**

4.  Budget  **20%**

# Debriefing

- All applicants may request a debriefing by sending an email to hrsb@health.ny.gov

- Requests must be received no later than 15 business days from date of award or non-award announcement

# Grants Gateway
# Overview & FAQ

# https://grantsgateway.ny.gov/



**NYS Grants Gateway FAQ**

1. How do I apply for an opportunity?

2. Where's a copy of the RFA Attachments?

3. How do I retrieve an application I've already started?

4. How do I retrieve the Q & A document?

*See RFA pgs. 16-17*

# Q1: How do I apply for an Opportunity in the Grants Gateway?

- You must be registered in the Grants Gateway to apply
  - See RFA, Section IV. M.
  - Vendor User Guide https://grantsmanagement.ny.gov
  - Delegated Administrator

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https://grantsgateway.ny.gov
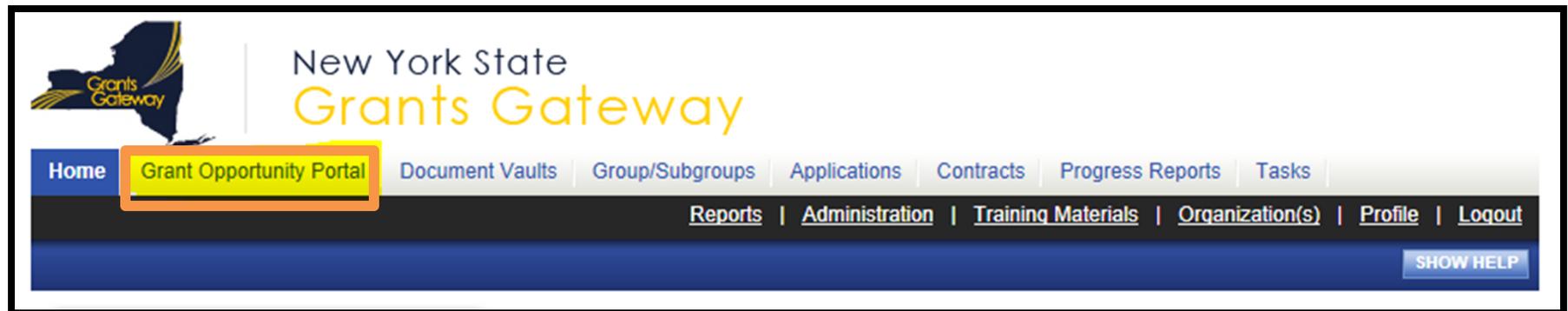
- Login
- Click on the Grants Opportunity Portal tab
- Search using the keywords (Healthcare Practitioner), and select the Department of Health as the Funding Agency
- Click on the Grant Opportunity name
- Click Apply for Grant Opportunity to start an application

https://grantsgateway.ny.gov

# **Q2:** Where do I download the RFA Attachments?

🟢 Menu  🟡 **Forms Menu**  🟢 Status Changes  🟢 Management Tools  🟢 Related Documents and Messages
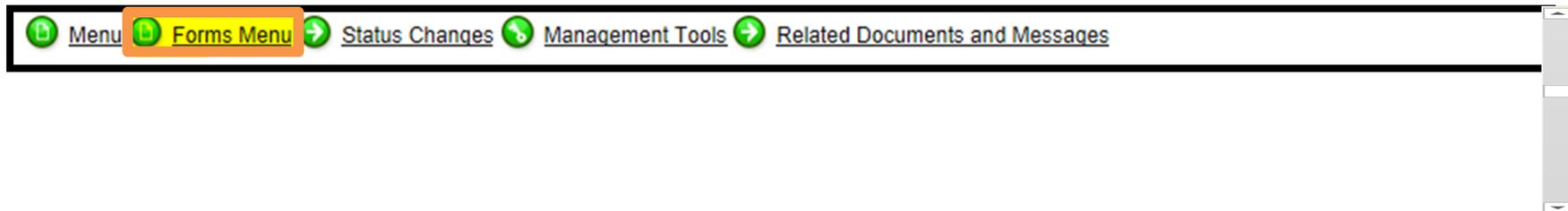
- Login
- Start an application or retrieve an application that you already started
- Click on the Forms Menu
- Scroll down to Click on Pre-Submission Uploads
- Download each attachment document template

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https://grantsgateway.ny.gov

# Click on each document template to download each attachment

**PRE-SUBMISSION UPLOADS**

**Instructions:**
1. Select the **Browse** button to locate an upload.
2. Select the **Save** button above to load it into the system.
3. If the Grant Opportunity you are applying for requires that a specific document be uploaded, a link to the Document Template will appear under the upload row. Click the link to download and save the Document Template to your computer. Once you have filled out the Document Template you can use the associated **Upload** row to upload the document as part of your application.

Only upload the completed Vendor Responsibility Attestation (Attachment 9), Minority & Women-Owned Business Enterprise Requirement Forms (Attachment 10), and the optional Letter of Intent Form (Attachment 1) in this Pre-Submission Uploads section. If used, Attachment 11 is uploaded in the Work Plan Properties section. All other completed forms must be uploaded in the Program Specific Questions section.

**Attachment 1 - Letter of Intent Form**
The prospective applicant institution is strongly encouraged to complete and submit a Letter of Intent. This form will be used to develop the review panel in a timely manner. Letters of Intent should be submitted via the Grants Gateway here in the Pre-Submission Uploads section of the online application. The file name should include applicant organization and PI names. A copy must also be e-mailed to scirb@health.ny.gov. Please ensure that the RFA number, organization name and PI name are noted in the e-mail subject line. Submit the Letter of Intent via both formats by the date posted on the cover of the RFA.

[ Browse... ] ☐ DELETE
*Document Template: Click here*
*View File*

**Attachment 2 - Application Checklist and Instructions**
For applicant use. Do not upload or submit with an application.

[ Browse... ]
*Document Template: Click here*

**Attachment 3 - Application Forms 1-4**
Applicants must use the uploaded forms below. Forms 1-4 are to be completed and uploaded as a PDF file - Program Specific Question #1. Do not upload the completed form here.

[ Browse... ]
*Document Template: Click here*

**Attachment 4 - Application Forms 1-S**
If applicable, applicants must use the uploaded forms below. Forms 1-S are to be completed and uploaded as a PDF file - Program Specific Question #2. Do not upload the completed form here.

[ Browse... ]
*Document Template: Click here*

https://grantsgateway.ny.gov

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# Q3: How do I retrieve an Application I've already started?
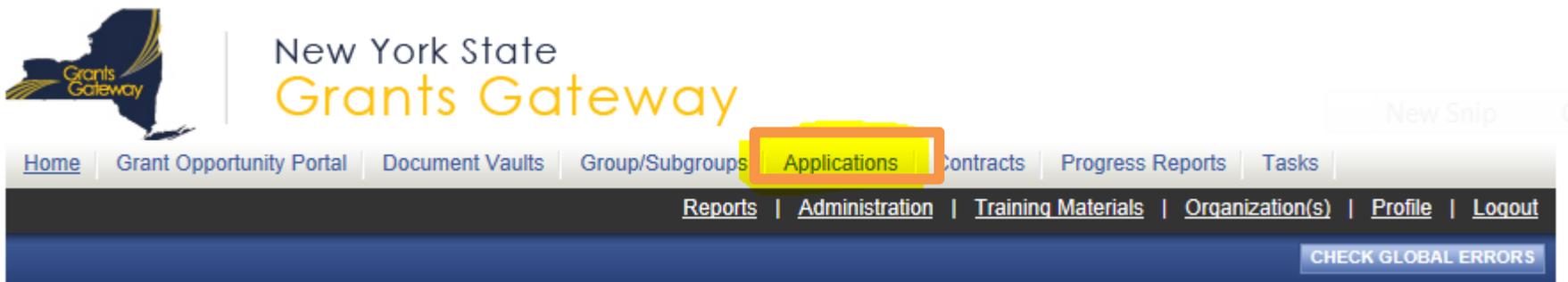


- Login
- Click on the Applications link located at the top of your home screen
- Enter search criteria to locate the application
- Click on the Application number to restart the application

https://grantsgateway.ny.gov

# Q4: How do I retrieve the Q&A document?
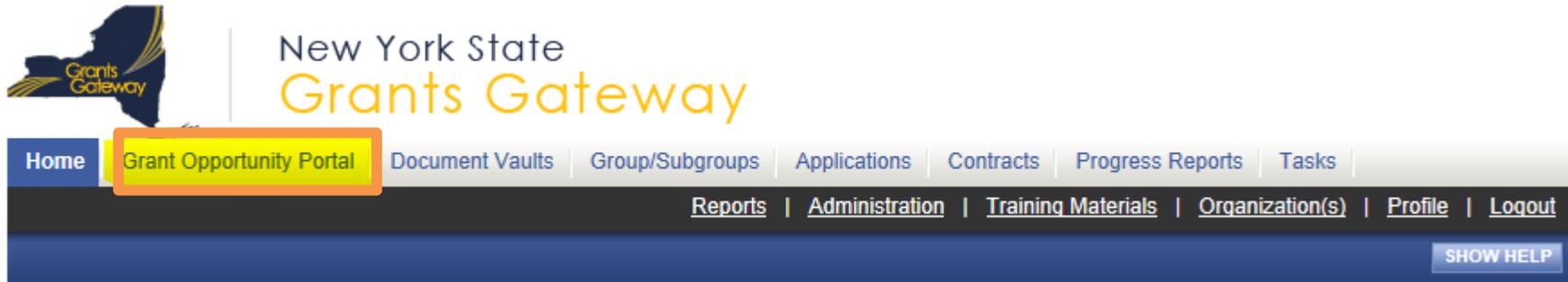


- Click on Grant Opportunity Portal
- Search for Opportunities in the Portal using the keywords (Healthcare Practitioner), and select the Department of Health as the Funding Agency.
- Click on the Grant Opportunity name
- Full Document details are listed on the Grant Opportunity Profile, which includes a Questions and Answers link

https://grantsgateway.ny.gov

## *Current Opportunities*
https://www.wadsworth.org/extramural/breastcancer

- Healthcare Practitioner Breast Cancer Education Research Projects (Round 2) RFA

- Patricia S. Brown Breast Cancer Risk Reduction Education Research Projects (Round 6) RFA

## *eAlerts*
https://www.wadsworth.org/extramural/breastcancer/ealerts

- Sign-up to receive updates:
  - News,
  - Meetings and/or
  - Request for Applications/Request for Proposals (RFA/RFP)

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# Your Questions

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# Thank you!!